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ABSTRACT

Responses from 54 libraries to a 1977 survey of Association of Research Libraries (ARL) member institutions and interviews by Office of Management Studies staff members who visited another 15 indicated that 20 of the 69 libraries had and made use of a written collection development policy. Eight others reported that such a policy was being developed, with limited funds as a major incentive for committing unwritten collection policies to paper in the hope of distributing those funds more equitably and efficiently. This collection of library documents focuses on the various criteria used by ARL libraries to develop and build collections. The kit contains documents on planning for a collection development policy from University of Rochester and University of Western Ontario; and policy statements from Joint University Libraries, Yale University, University of Houston, Arizona State, State University of Iowa, University of Michigan, Boston University, Northwestern University, and University of Texas. The introduction provides a concise summary of trends and issues related to collection development policies which covers purposes of collection development policies, pros and cons of policies, and policy statements for selected areas. (THC)

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Collection Development Policies

Kit 38

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COLLECTION DEVELOPMENT POLICIES

Introduction. Strong research collections do not simply appear on library shelves, and academic and research libraries are becoming increasingly aware of the benefits of definitive, written collection development policies. In a September 1974 SPEC survey, over half of the responding 60 ARL libraries indicated they had collection development officers or committees. Over half of these officers or committees were involved in formulating collection development policies, and deemed such development as an important activity involving not just themselves, but other library staff members and faculty as well. In August 1976, "Guidelines for the Formulation of Collection Development Policies" was adopted by the Board of Directors of the Resources and Technical Services Division (RTSD) of the ALA. With the understanding that research libraries were developing very fine collections long before the "Guidelines", another SPEC survey on the subject was conducted in April 1977, as part of the Collection Analysis Project of the OMS Office. This survey focused in part on the various criteria used by ARL libraries to develop and build collections.

Of the 54 libraries responding to the survey, and another 15 visited by OMS staff members, 20 reported the existence and use of a written collection development policy. Eight others reported that such a policy was being developed, with limited funds as a major incentive for committing unwritten collection policies to paper in the hope of distributing those funds more equitably and efficiently.

Purposes of Collection Development Policies. An examination of existing collection policies reveals that they vary widely in length, content, and organization, and that they usually serve one or more of five primary functions. First, they may assign responsibility for the collection function and offer guidelines for its implementation. Such guidelines give legitimacy to decisions on how the materials budget is allocated and spent and support a rational approach to these decisions. Second, collection policies may relate the collection to the goals and objectives of the library and university. Third, the policies may guide those who select materials for purchase by translating the goals and objectives into specific guidelines for scope and depth of the collections in various subject fields and for various types of materials. Fourth, policies may be used to assign responsibility or define relationships within a consortium or other cooperating groups of libraries. And finally, they may serve as a means of communicating collection plans to users and administrators.

Pros and Cons. In the RTSD "Guidelines", the Collection Development Committee assumes that a written collection development policy statement is a "desirable tool" which helps selectors work toward defined goals, informs university administration and faculty as to the current nature of collections and plans for the future, and provides information helpful in budget allocations. Along similar lines, a majority of libraries responding to the recent SPEC survey indicated they were looking at ways to use a collection development policy as a planning document for setting collection priorities, and as a benchmark for assessing collections. For nearly half of the responding libraries, however, the same precipitating factor for written guidelines--limited availability of funds--forces them to discount written guidelines and to purchase only those materials needed immediately to support current academic teaching and

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research strengths. Libraries without written policies note the swift obsolescence of such statements, and the difficulties of obtaining the faculty consensus necessary for a meaningful policy. Other libraries indicate they have found the task of compiling a comprehensive policy too great for the current staff and have chosen instead to create policy statements in only selected areas of the collection.

Policy Statements for Selected Areas. In several instances, libraries indicate they have found it impossible to develop a comprehensive collection policy. Instead they have opted for focusing on areas of greatest need, often interdisciplinary areas or areas in which there are not standard bibliographies. These policies for selected areas sometimes originate with a conflict among bibliographers or selectors. In other cases, a new area of interdisciplinary studies is started, and the library finds it impossible to rely on traditional departmental allocations. In yet other instances, branches of the same library system may be vying for the same materials, and a policy is developed to facilitate location decisions.

Future Trends. While a few libraries indicate a lack of confidence in written collection policies, nearly all libraries are finding it increasingly necessary to plan and document the collection function to some extent.

As purchasing power decreases, the demands for library accountability are increasing. One way of responding to such requests for many libraries has been to deal with the following topics as part of their collection policies: definition of clientele; specific library objectives related to collections; scope and depth of collections by subject area and language; scope of non-monographic materials collection; university programs supported; priorities and limitations governing selection; and cooperative collection agreements. Additional topics that may be useful include: assignment of responsibility for collection development; the use of blanket orders, standing orders, and approval plans; gifts and exchanges; weeding; and duplication.

The RTSD "Guidelines" offer a useful starting point for libraries in relating their collection decisions more directly to university programs. Often, the library bibliographers and faculty representatives have been selecting materials according to unwritten guidelines which can be negotiated and shaped into a written policy.

Such a written policy statement can offer a number of advantages: it provides equity in terms of users who are both verbal and specific about their needs and those users who do not specify their library needs; it offers standardization for purposes of comparison; and it alleviates the impact of personal preferences.

A policy is useful, though, only to the extent that it reflects the changes in the level of collection needs based on changes in university programs. In order to achieve this, the policy must be revised and refined continuously. At the same time, the problem is complicated for the very large research libraries which must incorporate tradition and unique missions into the collection development policy.

A collection development policy meeting these criteria is useful in several ways. It serves as a materials selection guide and it aids in the allocation process; it communicates information to administrators and users; and it sets the parameters for collection assessment.

* * *

The Kit on Collection Development Policies contains two documents on planning, and nine documents illustrating ARL members' policies (109 pp). The Kit is available to ARL members and SPEC subscribers for $7.50 and to all others for $15.00, with prepayment required.

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Return with documentation to:

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COLLECTION ANALYSIS PROJECT SURVEY
4/77
University of Rochester

II. Collection Development Philosophy/Policy

Please forward to the OMS any statements of philosophy of collection development and/or any existing collection development policies. These might include policies for operational use in building collections as well as statements intended to describe collections policy to users.

If no written statement currently exists, please describe briefly the current collection development emphasis at your library (e.g. buying on basis of probable future use; buying to maintain existing research collection strengths; buying to support current university curriculum and research; etc.)

Please see the attached copy of our memorandum of April 18, 1977 on the formulation of a written collection development policy. We have no written policy statements now but hope, through application of this memorandum, to have a policy/collection of policies available for distribution in the next eighteen months.

At present our policy is to meet present anticipated research and teaching needs as best we can by selective acquisition. The responsibility for collection development policy in each field lies with the bibliographer concerned in consultation with the library's Collection Development Officer. The creation of a series of written collection development policy statements is not expected to change the assignment of responsibilities or the definition of objectives but rather to clarify and refine the thought processes involved and to make them easier and more consistent of application.

— — —

To: All Bibliographers

From: Collection Development Advisory Committee

Subject: April 27 Meeting

There will be a meeting of all bibliographers at 10:00 a.m. on Wednesday, April 27, 1977 in the Third Floor Conference Room. Topic for discussion will be the enclosed Collection Development Policy Statement project. We would be grateful if you could come to the meeting having read the enclosed and prepared to comment on it.

To: All Bibliographers

From: Collection Development Advisory Committee

Subject: PROJECT TO WRITE COLLECTION DEVELOPMENT POLICY STATEMENTS

RATIONALE:

We live in a period of increasing budgetary uncertainty, so ever-greater emphasis will be laid on library management. Educated intuition and "gut-feeling" will no longer suffice as modes of operation. We must continue to develop more varied and sophisticated management tools to anticipate and deal with the university's library needs. These tools must serve librarians and the rest of the university in expressing, explaining and substantiating what each partner needs and can offer.

This library has developed a small collection, well chosen to meet specific academic needs at different times in the university's history. Collection development policy was formulated and administered informally, as was possible in an era of fewer disciplines taught, fewer books published and a highly developed oral tradition.

Certain obvious changes have taken place in the last ten years. The university continues to increase the variety of advanced-degree programs and of undergraduate programs as well. The amount of information published each year has increased vastly and the cost per unit (especially for periodicals) has risen at a rate significantly higher than that of American inflation overall. Relying on continuity of personnel to retain and transmit an increasingly complex body of collection development policies places an unnecessary burden on an ever-busier staff. Communication with faculty is increasingly complex and multi-faceted. Finally, we are at a time of transition, between directors.

Written collection development policy statements taken together should be a tool of considerable value in orienting a director and in helping develop and justify a budget position vis-a-vis the university administration in consonance with the ambitions and needs of the university.

All this points to the desirability of taking the next step in collection development policy formulation - the preparation of a body of written collection development policy statements. There are clear reasons for the desirability of such statements, reasons which need to be expressed to the faculty whenever the occasion arises. The preparation of written statements should:

1. Lead to better definition of each bibliographer's selection and collection development responsibility by requiring written formulation and by making these written statements available to all concerned.

2. Help identify and thus fill in gaps in collection development responsibility.

3. Improve faculty and bibliographer understanding of the allocation of specific collection development responsibilities, especially those subjects in the hands of others which are of importance to the faculty member's research. Heighten bibliographers awareness of each other's responsibilities. Improve the mutual exchange of ideas and suggestions.

4. Identify and resolve specific questions of collection location.

5. Improve the librarians' understanding of specific faculty resource needs by involving the faculty in the formulation of collection development goals.

6. Ensure consistent collection building for areas presently ignored by the faculty.

7. Improve the faculty's understanding of the financial and bibliographic resources we can put at their disposal to meet their needs, including a heightening of the faculty's awareness of what the collection ought to be, measured against what it is. Focus faculty awareness on the quality of the collection, highlight major collection strengths and weaknesses.

8. Clarify the extent to which the faculty can or must rely on the resources of other libraries to pursue their research.

9. Provide faculty and librarian with the opportunity of an overall review of our collection priorities, a process which should be repeated from time to time. The Department Chairman and the departmental Library Representative are of particular importance here.

10. Prevent the sort of surprise we have had in the past: the appearance of new disciplines or Ph.D. programs or shifts in emphasis within a discipline with no prior warning or consideration of what resources the library may have, lack or need to acquire in their support.

11. Provide a better understanding of the library's strengths and weaknesses as a research or teaching tool and of their effect on the recruiting or retention of first-class faculty and graduate students.

12. In general, improve communications and heighten rapport between faculty and librarians.

These written statements will provide librarians, faculty, and administrators with a detailed overview of what our library does and does not do in providing resources. Gaps will be clearly outlined for possible future action. Areas of strength and areas needing to be strengthened will become evident. Faculty members and librarians will be more fully aware of resources outside their own areas of concentration. Updating these statements will provide the occasion for policy review as faculty members come and go. The existence of written statements should lead to a greater consistency of selection, especially in areas affecting more than one discipline or more than one bibliographer.

PROPOSED SCHEDULE:

We realize that this project asks the bibliographer to make a serious commitment of time and effort during a period when such claims seem to be multiplying. For this reason we welcome your comments on the entire proposal before we go ahead. Above all, we are trying to set up a timetable which envisions getting the job done promptly without imposing too heavy a burden at any one time.

This is the proposed timetable, which we ask you to be prepared to discuss when we meet.

April 1977

> Meeting of all bibliographers to criticize, amend and adopt the final version of the project.

May-June 1977

> Bibliographers meet with department chairmen and library representatives in all their departments, develop draft of one general policy statement for one discipline represented by a fund in cooperation with relevant faculty. Bibliographers will meet as a group in early June to discuss their progress.

July-December 1977

> Bibliographers complete draft of one general policy statement for each subject represented by a fund, begin to plan on specialized statements in subdisciplines of particular importance. Drafts are reviewed and criticized by the Collection Development Advisory Committee.

January-March 1978

> Bibliographers complete final versions of general policy statements for each subject represented by a fund, prepare drafts for all specialized statements to be written for subdisciplines and special cases. Committee reviews drafts.

April-June 1978

> All general and specialized statements are to be completed. Final loose-leaf folders collated and distributed to library, faculty and administrators concerned.

We do recognize that the burden in this project is unevenly distributed. Some will finish early, with just one statement. Others will have many more general statements plus a variety of specialized statements.

Rewriting schedule: it is suggested that all statements be reviewed and rewritten at least once every three years, more often as needs and faculty change.

So this is our proposal. By the time it reaches you it will have been reviewed ad nauseam by our committee and will have been submitted to the library administration for review and approval. We will meet with you after you have had time to read and disgest this, and hopefully your suggestions will allow us to whip it into final shape by the end of April.

The Collection Development Advisory Committee

appended:

1. three sample specialized statements prepared by members of the Committee.
2. a sample general statement from the University of Texas Collection Development Policy (individually chosen for each bibliographer)

THOUGHTS ON HOW TO GO ABOUT PREPARING COLLECTON DEVELOPMENT POLICY STATEMENTS

Most general or subdiscipline collection development policy statements should not exceed three single-spaced typewritten pages. By "general" we mean major divisions normally covered by a budgeted fund: Chemistry, Art, History. By "subdiscipline" is meant a topical or other subdivision which lends itself readily to precise description: Organic Chemistry, Italian Renaissance Art, Modern German History, English Seminar Room.

It is best to begin by developing a general collection development statement for each field represented by a fund. This will allow you to keep a broad frame of reference for the preparation of more specialized policy statements for those particular subdisciplines which need it. Importantly, it offers the possibility of not writing subdiscipline statements for categories which do not warrant it in terms of this university's needs.

This is the time when you should meet at some length with the Department Chairman and the department's Library Representative. This is not only a necessary courtesy, but they also serve as a good starting point in your faculty discussions. You may want to meet after you have sent them a draft for review or you may want to see them both before and after; this really depends on your judgment of the particular situation. There is no doubt that the general collection development statement will turn out to be the hardest to do for any discipline.

Later you will be involved in statements for subdisciplines. There are various approaches to subdividing the general field: chronological, geographical, thematic, etc. Each bibliographer will set up the subdisciplines which best seem to reflect the way the department is subdivided. Each bibliographer will use the approach which seems best suited to the particular department involved.

Once each subdiscipline is defined, a list should be drawn up of the faculty to be consulted. Then a complete draft statement should be done at one sitting, noting points which need checking or which require further information. This is to see if in fact the topic does fall naturally into one statement. If not, it should be expanded or divided until it does. Remember, though: no matter how intimidating the project may seem as a whole, you will be attacking it in readily manageable steps, not all at once. Implicit in this whole process is the recognition that bibliographers have many other duties claiming their attention.

If the subdiscipline shapes up properly and is of major importance to the university, the bibliographer must approach the faculty involved. (By of "major importance" we mean subjects at the "research" or higher collection intensity levels. The decision on whether or not to write a statement for "undergraduate level" subjects will depend on the case.) No two situations will be alike. Approach one or all faculty members concerned? Ask them to write drafts or do it yourself on the basis of conversations? The bibliographer must decide. However, no matter what method is used, the faculty must be made fully aware of this project and must not only have the opportunity to contribute but must be made to feel involved. Many sorts of side results beneficial to the library can be expected from this process if it is conscientiously followed through. This is a major consideration to keep in mind. It would be a good idea to put a list of faculty members consulted at the end of the statement if they agree to this use of their names.

Of particular interest will be the discussions of faculty goals and what the collection ought to be as against what it is now. Once the professors are interested, there may be difficulty in restraining some of them from asking for a local NYPL or LC. And yet, getting them to articulate and define their expectations reasonably is not only vital to this project but of major importance to this library system.

One point made by the Faculty Library Committee in reviewing this project is that all these statements should sooner or later be submitted for review to the Chairman and Dean concerned. This will serve not only to keep this person informed of your progress but also allow you to place statements in better perspective as regards overall departmental or faculty goals. Statements for Dean Clark should be forwarded by Claude Noyes as Chairman of the Committee and Head of Collection Development.

There may be separate units, not properly speaking part of the River Campus library system, whose existence affects our operations to the point that a distinct collection development statement is appropriate. The English Seminar Room comes to mind as an example.

Each bibliographer will need to develop his or her special way to go about this project. Members of the committee will be available at any time to talk things over. The Committee's role in reviewing final drafts is more to provide guidelines, to ask questions whose answer may not seem evident or clear, to try to develop consistency of format. To help us in this, the checklist of elements could profitably be used as paragraph headings in the statements.

Vital as faculty contributions are, we want to stress that the collection development policy statements must be in the final analysis a considered expression of what the bibliographer feels is right for our library system in the immediate future after hearing what all interested parties have to say. It is to be your statement. In fact, please put your name and the phrase "prepared by" at the end.

CHECKLIST OF ELEMENTS TO BE COVERED IN WRITING COLLECTION DEVELOPMENT POLICY STATEMENTS.

(see attached "Discussion of Checklist Elements" for amplification)

Page Headings for each page (see attached samples)
title: brief name of subject
month and year statement was approved
page number
brief LC class statement if possible

Description of field, including
chronological limits
geographical areas treated
degree levels taught

Location(s) of volumes held

Description of users and level of collection intensity desired
languages in which material is collected
present and future degree programs

Present level of collection and need for improvement
desiderata file criteria
retrospective vs. current acquisition needs
Non-library Collections on River Campus
Special collections holdings and needs

Types of material collected and excluded

Special notes, if any, on gift selection

Summary deselection/relocation policy

Outside sources to be considered in collecting or deselecting
local
regional
North America

Major related subjects

Special comments

Prepared by:

Faculty consulted:

SAMPLE PAGE HEADINGS

HISTORY	June, 1977 page 3 C,D,E,F,
AMERICAN COLONIAL HISTORY	February 1978 page 2 E140-200
WILLIAM H. SEWARD	February 1978 page 1 No LC
AFRO-AMERICAN STUDIES	June 1977 page 1 interdisciplinary Includes: DT E441-655 HT

Name of subject division should be brief. If possible, use term most familiar to the faculty concerned.

If no LC statement is possible, write "No LC". Examples: Welles-Brown Room, special collections on particular persons or groups.

Inclusion of particular LC classes under "interdisciplinary" does not imply the exclusion of other subclasses too small, too many and/or too scattered to mention conveniently at this point. They should, however, appear in the "description of field" and perhaps again in the "description of users of collection desired."

The heading should appear at the top of each page to simplify later filing.

These statements will be filed in LC class sequence with those which are non-"LC-able" filed alphbetically by name of subject division at the end.

The whole will need to be provided with an alphabetical index by name of subject division.

DISCUSSION OF CHECKLIST ELEMENTS

Description of field. Ideally, this should be brief. It should be complete, though, for here is where one states what is and is not involved as far as subject is concerned. This means, of course, the subject as defined on the River Campus for collection purposes. Specific reference should be made when relevant to the geographic area covered and the time span involved. Don't forget to specify what degrees are offered within this discipline.

Location(s) of volumes held. In most cases a simple phrase such as "Chem/Bio" or "Rush Rhees stacks" will suffice. In other cases, however, precise subdivisions of subject and their location will need to be spelled out, perhaps with areas noted in which particular care must be exercised to avoid duplication or keep it to a minimum. Examples: function of the brain, Computer Science, pollution.

Description of users and of collection desired. Here is where we set forth what the department or faculty group and its students are actually doing, plus a statement of the kind of material and the collection intensity we should have to support each aspect properly. A fair amount of subdivision or itemizing will often be required here. Be specific as to whether B.A., M.A., Ph.D., postdoctoral and/or faculty research is to be supported by the collection and which student levels use what material. May be combined with "Description of field" if this produces a more coherent statement or eliminates repetition. Don't forget to put down what you know of plans and probable future directions these people will take, especially as regards new degree programs.

Present level of collection and need for improvement. Many of our collections may in fact be inadequate to meet the needs of the user communities they are intended to support. The most concise statement possible of the difference between what is needed and what we have should be put down here. General comments concerning the contents of the desiderata file should be made under this heading as well as the extent to which retrospective buying is needed.

The two elements above will require as much work as the rest of the statement put together.

Special collections holdings and needs. If no special collections activities are involved, this should be stated. ("Special collections" is used here to refer to the activities of the Department of Rare Books, Manuscripts and Archives.) Please see "Description of levels of collection intensity and their definition" later on. I would imagine that very little special collections involvement would occur for most of the natural sciences and engineering, though we do have some needs for material on the history of science. For some subjects the entry should read "see separate statement." These will be the fields for which the Department of Rare Books, Manuscripts and Archives collects intensively and for which R. Volz or his successor would like to develop a parallel statement. In a few cases it will be desirable to draw up a statement in consultation with E. Wass concerning government documents. Special formats such as microforms or periodicals would normally not be treated here, though newspapers might. Brief special collections statements might well be incorporated into the descriptions of collections as they are and as we want them to be (see above).

It will be important to note under "special collections" the various categories of such materials required to build up the collection to the desired level in most cases in which there is a significant difference between the desired level and the present level of the collection.

Normally, comments about special collections would be supplied only to subjects collected at the "research", "intensive" or "exhaustive" levels. There may be fields in which our only activity is in special collections; in such cases R. Volz' statement will be the only one on file.

Types of material collected, excluded. For most subjects these entries will restrict our activity to books and periodicals in the original, reprint or microform. In a few cases additional materials: films, film strips, audio/video cassettes, newspapers, rare books, manuscripts, slides, etc., may be collected or specifically excluded.

Special notes on gift selection. These are rules of thumb to guide us in handling routine book gifts not of special interest to the Department of Rare Books, Manuscripts and Archives. It would be of great value to those involved in gift operations to know whether or not to add copies of some standard items, check on holdings for worn or stolen copies, look for particular categories to round out collections, etc. (e.g., pre-1914 guidebooks, sport novels, propaganda for specific interests, etc.) Much of this may have already been set forth in "description of field" and "description of users and of collection desired," and need not be repeated. Particular note should be made of what we may or may not expect in a gift program and how it relates to our acquisitions policy.

Summary of deselection/relocation policy. In most cases the entry will be "none". There may be subjects in which it is appropriate to weed certain categories of books (some natural sciences?) or relocate them (Reference Department) at regular intervals according to established criteria. If so, these should be set forth. Thought should be given to a possible relocation policy if separate storage were to be made available for items currently less needed.

Outside sources to be considered in collecting or weeding. This is one of the headings for which our information will be uneven at the beginning. "Local" means the Rochester area, "regional" means the Middle Atlantic States and New England. "North America" includes the United States and Canada.

Outside resources should be cited only when they are so complete and so readily accessible (by virtue of proximity or quality of service and access tools) that they do or should exert a significant influence on our collection activities in a given field. For example, there may be no reason to cite SUNY-Buffalo's holdings in South American law under "regional" because in any case we would not do very much in this field. On the other hand, SUNY-Buffalo's collection of contemporary poetry may well influence our activities, as Cornell and Syracuse' collections on South Asia may dovetail with our efforts in this area. Any collection effort on Canadian Studies will obviously be affected by our closeness to the University of Toronto and other major Canadian collections.

This category is NOT an inventory of noted collections in North America, but only of those which in fact should influence our collection policy in some significant way.

Major related subjects. This is in effect a place for "see also" references.

Special comments. No two disciplines are alike, nor can their situations on the River Campus be identical. Any information of significance which is "none of the above" should be presented here. It is better to use this opportunity rather than to omit something of significance or force it into a category where it may be lost by being out of place.

LEVELS OF COLLECTION INTENSITY AND THEIR DEFINITIONS

No support
Basic level
Undergraduate level
Research level
Intensive level
Exhaustive level

No support. Material is bought only as it relates to another discipline.

Basic level. Includes only highly selective purchasing to support a basic information collection appropriate to a subject which falls outside the scope of present instruction and yet within which users may need a minimum of library service to aid their understanding of material properly within the scope of their studies. Material selected serves to introduce and define the subject and to indicate the varieties of information available elsewhere. It may include major dictionaries and encyclopedias, selected editions of important works, historical surveys, bibliographies, some general treatises and a few of the major periodicals in the field. Courses other than introductory are not normally taught in subjects maintained at this level. Material purchased is almost exclusively in English, with very little retrospective buying.

Undergraduate level. Purchases are of works needed to support effective undergraduate instruction in a given field. Include a select collection of basic monographs, files of basic journals and the most important reference tools and bibliographical apparatus pertaining to the subject. Undergraduate courses may or may not be maintained in subjects maintained at this level but the materials may be needed to anticipate future developments or to provide supplementary information for courses taught in other fields. Materials are purchased in English and the language of the field if appropriate. Non-print learning and teaching aids are also purchased. Retrospective purchasing is limited to standard works.

Research level. Purchases at this level are expected to supply everything required for undergraduate honours work as well as the major sources required for some graduate and independent research. This level includes all the basic reference works and a wide selection of specialized monographs as well as a comprehensive collection of journals and major bibliographical, indexing and abstracting tools and services in the field, and some primary sources. This level is expected to support, in part, the doctoral work now offered or likely to be offered in the near future, but it will not support a large and varied graduate enrollment with many fields of concentration for the doctoral degree. Materials are purchased in a variety of Western languages other than the language of study, but there remains a heavy reliance on interlibrary loan and photocopy purchase from other libraries. Selective programs of retrospective buying are encouraged. Guides, such as library catalogues, to relevant off-campus collections should therefore be acquired comprehensively, and access should be provided to any automated data bases which exist for research in this subject. Such Master's programs as the University may have are obviously included in this collection intensity level. The Department of Rare Books, Manuscripts and Archives might make a contribution to collection policy statements at this level in the Social Sciences and the Humanities.

Intensive level. This level is to maintain a collection which supports doctoral and especially postdoctoral and faculty research with a minimum of reliance on interlibrary loan or other outside sources. Purchases for special collections and of non-print material in general may become significant at this level. Development of such a collection allows for an indefinite expansion of the research program both at the Ph.D. level and for postdoctoral and faculty research. A major emphasis is laid on the acquisition of a wide range of primary source material in the Social Sciences and the Humanities, and in the Natural Sciences where applicable. Relevant materials will be acquired in all Western languages plus the special languages, if any, of the subject. The Department of Rare Books, Manuscripts and Archives might well submit a separate statement for its aspects of collection development at this level.

Exhaustive level. A collection policy which endeavours, so far as is reasonably possible, to include all works of recorded knowledge (publications, manuscripts, and other forms) in all applicable languages, for a necessarily defined and limited field. This level of collecting intensity may seek to maintain a "library of record": the aim, if not the achievement, is exhaustiveness. It is a collection which stands out nationally amongst those of its kind. The Department of Rare Books, Manuscripts and Archives would be expected to develop a separate, closely related profile to coordinate its policies with those of the subject bibliographer and the faculty concerned. The University of Rochester River Campus Libraries may not, in fact, yet have any such collections.

DRAFT

SUBJECT: Collection Development Statement: PHOTOGRAPHY

March 1977
p. 1
TR

DESCRIPTION:

The history and art of photography, which is the process of producing images on a sensitized surface by action of light or other radiant energy.

USER COMMUNITY:

Users are currently limited to undergraduates, with course offerings each year consisting of three history of photography and four studio photography courses. A graduate program is being proposed which would concentrate on a PhD in the History of Photography. However, because of the excellent research collection at the International Museum of Photography/George Eastman House, this library will continue to serve as a basic collection for undergraduate and beginning graduate research.

PRESENT LEVEL OF COLLECTION:

The collection is built around the study of photography as an art form, not on the scientific basis and theory of photography. The Fine Arts Library collects books showing the work of important photographers, contemporary photographers, exhibition catalogs from major shows, collections, and sales, and selectively on photographic techniques. The present undergraduate level of the history of photography collection should be developed into a research level collection, especially if the graduate program is initiated. To go beyond this is not necessary as the IMP/GEH can serve as the local resource. It is often necessary to maintain duplicate copies of the basic research material due to its popularity, loss, and class size.

LANGUAGES COLLECTED:

Due to primarily undergraduate users, the language most heavily collected is English. Because of some major exhibition and/or monographs on photographers which are not in English, there is limited collecting in French, German, and Italian. Due also to the nature of the subject matter, the text is often not an essential part of the book, hence the quality of the reproductions becomes the criterion, regardless of language.

GEOGRAPHIC AREA:

Not applicable.

CHRONOLOGICAL LIMITS:

None

SPECIAL COLLECTION CRITERIA:

Special attention should be paid to the Hubbell Collection in Rare Books, Mss., and Archives as these are books illustrated with original photographs. The Fine Arts Library will not consider purchase of this type of book. (See separate statement for Rare Books, Mss., and Archives.)

DESIDERATA FILE CRITERIA:

In order to upgrade the level of this collection, one of the major items for the desiderata file will be backruns of certain periodicals valuable for their content of photographs by major photographers.

TYPES OF MATERIAL COLLECTED:

Books, periodicals, and reprints, usually in book form, but based on cost and availability, sometimes in microform.

TYPES OF MATERIAL EXCLUDED:

Books illustrated with original photographs, photographs, negatives, and slides will not be collected in the Fine Arts Library.

LOCATION OF MATERIAL:

The majority of the Photography collection is in the Fine Arts Library, Rush Rhees. There are no books classed in "TR" in the main stacks, Rush Rhees.

SUMMARY DESELECTION/RELOCATION POLICY:

It may be appropriate at times to reconsider what material is housed in the Physics/Optics Library and the main Reference Dept., Rush Rhees, as well as Fine Arts Reference for possible relocation in the Fine Arts Library or Rare Books, Mss., and Archives.

OUTSIDE SOURCES:

Locally, other possible resources include the library at the Visual Studies Workshop, Kodak Research Libraries, and the International Museum of Photography/George Eastman House. The IMP/GEH remains one of the leading repositories in the country, and will be relied upon heavily for research purposes for the proposed graduate program here, as well as being heavily utilized by scholars throughout the country. Other national sources include the University of Texas at Austin, the Smithsonian Institution, 3M Company, Columbia University, the Museum of the City of New York, and the Library of Congress.

THE UNIVERSITY OF WESTERN ONTARIO
LIBRARY SYSTEM

1 March 1975

THE IMPORTANCE OF WRITTEN LIBRARY COLLECTIONS POLICIES; THEIR RELATIONSHIP TO COLLECTIONS APPRAISAL AND THE UNIVERSITY LIBRARY'S ACQUISITIONS POLICY

In formulating a model for the rational development of University Library Collections, it is essential that clear distinctions be drawn with respect to Collections Policies, Collections Appraisal and a Library's Acquisitions Policy or program of acquisitions. Written library collections policies may serve the following purposes:

1. To indicate thoroughly and systematically the library materials required to support adequately the instructional and research programs of the institution which the library serves, and the general priorities for building and maintaining appropriate library collections vis-a-vis the academic programs offered.

2. To enable libraries to undertake more accurate and more effective budget planning (e.g. the submission of an annual budget request), not only from the point of view of the financial resources required for an adequate program of acquisitions, but also the physical and staff resources required to select, process, maintain, and generally make available for use, the materials needed by library patrons.

3. To give library staff a clearer view of what appraisals should be undertaken to determine the strengths and weaknesses of existing collections.

...2/

4. To provide a rational basis for the establishment of an appropriate program of acquisitions during each fiscal year (or other period of time deemed suitable) in the light of existing appraisals of collections strength, and the actual availability of physical, financial, and staff resources.

5. To provide current guidelines of collections policy for regular consultation by faculty and library staff involved in the selection of materials.

The approach adopted for the preparation of collections policy statements will inevitably vary from University to University. It is desirable however that they be drawn up by each appropriate academic unit concerned (i.e. Department, Faculty, School, College, Institute, etc.) in consultation with the Library. The latter should render whatever assistance it can provide (e.g. supplying suitable guidelines for the format of the collections policy). Furthermore, such statements should have the full approval of each academic unit, and be reviewed periodically as required to reflect changes and new developments in the academic programs offered.

Collections Appraisal, on the other hand, consists of the planning and execution of pertinent studies whereby the strengths and weaknesses of existing library resources in support of an academic program or programs may be appropriately evaluated. Collections Policies identify what is needed regardless of what materials may or may not be available to support an academic program. Collections Appraisal identifies specifically the materials currently available or lacking in the Library for that purpose.

...3/

Acquisitions Policy takes into account the requirements spelled out in the collections policy documents, plus the information made available on collections strength through appraisals. Additionally, the design of Acquisitions Policy for an University Library should take into account several other factors:

1. Availability of budget resources to purchase materials.
2. The cost of materials including current rates of inflation.
3. The actual use of materials based on circulation records (i.e. what materials are used and how frequently, how they are used and by whom) plus individual library staff knowledge of collections usage.
4. The number of faculty employed in each academic unit plus the number of students enrolled in the academic programs offered.
5. The availability of materials in the marketplace.

Written Collections Policies are fundamentally important to the rational and efficient development of library resources in support of an University's academic programs. They indicate or clarify what may be required in the way of Collections Appraisal. The various guidelines contained in the collections policies, the detailed knowledge compiled from appraisal activity plus the other categories of data previously outlined provide the necessary information and background from which the most suitable Acquisitions Policy may be designed and implemented within an University Library or an University Library System.

...4/

SUMMARY TABLE

A.	Collections Policies	--	What is required (i.e. total needs).
B.	Collections Appraisal	--	What is available (i.e. the strengths and weaknesses of existing collections).
C.	Acquisitions Policy	--	The actual program of acquisitions implemented in view of A and B plus other considerations (e.g. collections usage).

Note

This document was drawn up by the Collections Policy Committee of the Board for Library Coordination and was approved by the Board in March 1975. The Council of Ontario Universities established the Board for Library Coordination in 1971 for the purpose of recommending policy on coordination and cooperation in the development of university library services.

(retyped 14.4.76 ja)

1 March 1975

THE UNIVERSITY OF WESTERN ONTARIO

LIBRARY SYSTEM

LIBRARY COLLECTIONS POLICIES

SUGGESTED FORMAT

1. General Purpose of Collections Policy Statement

Provides a brief summary of the academic program(s) offered by the University in each subject discipline which requires library support. If an academic Department, Faculty, School, Institute, etc. has a written statement of its general objectives, such a document might be summarized or quoted in this section. Unique characteristics of the academic unit including methods of teaching should be outlined.

2. Languages

Indicates the languages of the materials which should be collected and outlines language restrictions including limits on translations.

3. Geographical Areas

Outlines the geographical limits (if any) of:

(a) the academic programs offered (e.g. North and South America only).

(b) the areas of the world from which publications should be purchased (e.g. only materials published in Canada, the United States, and the United Kingdom).

4. Chronological Limitations

Describes (if relevant) the chronological limits of:

(a) the academic programs offered (e.g. history of the British Isles from 1485 to the present)

...2/

(b) imprints required (e.g. only publications from 1945 to the present).

Some reference should be made to the need for retrospective materials to support the academic programs as opposed to currently published materials.

5. Types of Material Collected

Lists the types of library material required (e.g. monographs, periodicals, microforms, maps, musical scores, government documents, theses, transactions, symposia, proceedings of international conferences, etc.).

6. Types of Material Excluded

Frequently, this category of information is implied by the data supplied in number five. Specific exclusions may need to be mentioned. Types of material commonly excluded are slides, maps, microforms, recordings, and tapes.

7. Subjects and Collection Levels

In this section, the various subject and sub-subject areas covered in the academic program are outlined with whatever degree of detail is deemed appropriate. Collection levels are defined on a five-tier basis.

A. Intensive Level: Materials are collected to support doctoral and post-doctoral research with a high degree of adequacy. Provides for indefinite expansion of library resources to support Ph.D. and post-doctoral programs, and faculty research.

...3/

B. Comprehensive Level: Provides for the collection of a wide range of materials, but with little emphasis on the collection of manuscripts and non-print resources. Should support doctoral studies with reasonable adequacy, but is not designed to support a large doctoral program with heavy concentration in several fields. Considerable reliance is placed on interlibrary loan.

C. Beginning Research Level: At this level, a collections policy is designed to provide full support for undergraduate programs, and most of the materials required for work at the masters level. Basic works of scholarship are purchased in the required languages.

D. Teaching Levels: Provides for the development of a collection which will effectively support undergraduate instruction including honours programs. Requires the purchase of a wide range of reference materials, subject indexes, and bibliographies plus files of basic journals and periodicals.

E. Basic Reference Level: Designed to build collections selectively in subject areas in which no formal academic program is offered, but which overlap with subject areas in which academic programs are available. This level is generally not adequate to support undergraduate programs. Materials collected include only basic reference works, periodicals, and monographs.

...4/

Subjects and collection levels may be written out in the following manner with explanatory notes if necessary:

Quantum Chemistry	D
History of France from 1789 to the Present	A
Social Implications of Computers	E
Western Political Philosophy from Plato to the Present	C
Economic Theory	B
English Literature Including Drama 1475-1660	A

The collection level indicates the degree to which it is desirable that materials be collected, and not (necessarily) the actual strength of the collection in that particular subject. In many instances however, the desired level of collections development will coincide with actual collections strength.

Related Resources

In some instances, collections policy in various university libraries is influenced by related resources in other locations and institutions. If such reliance is significant, its extent should be specifically indicated in terms of:

(a) the local community

(b) the Province of Ontario.

...5/

For example, some universities in the Province of Ontario (e.g. Guelph and Waterloo) operate cooperative programs which affect library collections policy in the respective institutions involved.

Other Factors

A miscellaneous section where special circumstances may be outlined which do not fall under any of the previous sections (e.g. interdisciplinary programs which an university may be operating in conjunction with other institutions of higher education).

Note

This document was drawn up by the Collections Policy Committee of the Board for Library Coordination and was approved by the Board in March 1975. The Council of Ontario Universities established the Board for Library Coordination in 1971 for the purpose of recommending policy on coordination and cooperation in the development of university library services.

(retyped 15.4.76 ja)

REPORT OF THE DEPARTMENT OF HISTORY, AD HOC COMMITTEE ON LIBRARY POLICY

14 April 1972

I. COLLECTION DEVELOPMENT POLICY

Department of History
University of Western Ontario
London, Ontario, Canada

In this statement "History" includes political, economic social, military, intellectual, urban, business, and religious history, plus biography. Special cultural areas such as art, education, literature, or science and technology may be included incidentally, but are generally covered under other selection subjects.

General Purposes

1. To serve teaching and research through the doctorate in Canadian History, including the colonial period and Canadian-American relations. There has been one Ph.D. student in English history. It has, however, been a tradition of this department to make library purchases in both English and American history at the Ph.D. (A) level.

2. To serve teaching and research through the Master's degree in seven fields offered by the Department of History, as follows:

   British Empire and Commonwealth

   Great Britain

   Latin America

   Medieval and Renaissance Europe

   Military History

   Modern Europe

   The United States, including the colonial period

3. To serve undergraduate course instruction needs in three fields as follows:

East Asia

East Central Europe

Southeast Asia

Languages

Materials are acquired in all pertinent languages, except oriental languages. Classical and standard works on Latin America in Spanish, Portuguese, and French are acquired on a selective basis. Works in German, Italian and other languages acquired for graduate study are collected selectively.

Geographic Areas

As specified under General Purposes.

Chronological Limits

None, except as specified under General Purposes.

Types of Material Collected

Books and monographs

Serial publications of all kinds, including scholarly journals, periodicals, newspapers, and publications of associations and societies. Back runs and defunct journals are acquired, as well as new current titles

Government documents, especially Canadian (including provincial and local), American, and British

Microforms, with back runs of periodicals, newspapers, and government documents collected extensively on microfilm and microfiche.

Reprints, considered under the same criteria as new books

Maps

In Canadian history as comprehensive a collection of maps as possible is needed to display the evolution of Canada from its beginnings. These should include maps of national, provincial, regional, county and urban units, as well as maps displaying political, social, economic, and military developments. In addition, there should be maps depicting the process of exploration, particularly in the Northern and Polar regions. A set of electoral maps for the post-Confederation period is available from the P.A.C. and is a particularly urgent need.

Maps in other fields are collected at faculty request.

Dissertations and theses, in microfilm or xerox copy, by faculty request

Types of Material Excluded

Manuscripts, except when necessary in microform, or originals of Western Ontario interest

First and other early editions, except Canadiana, when sound modern text is available

Phonograph recordings and audio tapes

Subjects and Collecting Levels

Historiography & Philosophy of History	B
Canada	
General, including the French Régime	A
Regional and Provincial history	A
Aboriginal history and pre-history (see Anthropology)	
Great Britain	
England to 1399	B
England since 1399	A
Scotland to 1707	C

Scotland since 1707	B
Ireland to 1688	C
Ireland since 1688	B
Military history since 1494	B
Emphasis upon Western Europe, Great Britain and North America	
United States	
General, including colonial period	A
State and local:	
States contiguous to Canada	B
The South	B
All others	D
Medieval and Renaissance Europe	
Western Europe (except as specified below)	B
Scandinavia	C
Netherlands and Belgium	C
Slavic Europe	C
Byzantine and Balkan history	D
Modern Europe	
Western Europe (except as specified below)	B
Scandinavia	C
Netherlands and Belgium	C
Russia since 1801	B
Slavic Europe	C
Balkan countries	C
British Empire and Commonwealth	
General	B
The English Atlantic to 1783	A
India, 1600-1813	B
British West Africa, 1500-1832	B
British West Indies, including Guyana and Honduras	B
All others	C

Latin America	
Pre-Colombian period (see Anthropology)	
Colonial and national period:	
Argentina, Brazil, Chile, Mexico, Venezuela, Colombia, Uruguay, Cuba, Puerto Rico, Haiti, the Dominican Republic, Jamaica, and the Central American Countries (Costa Rica, British Honduras, El Salvador, Guatemala, Honduras, Nicaragua, and Panama)	B
Peru, Bolivia, Ecuador, Paraguay, Trinidad and Tobago, and Guyana	C
East Asia	C
Southeast Asia (Modern Period Only)	C
Auxiliary historical studies	
Heraldry	
English	B
Other	D
Medieval paleography	B
Genealogy	
English and French	B
Other	D
Numismatics	D

COLLECTION POLICY
OF
THE JOINT UNIVERSITY LIBRARIES

Edited and Compiled by
Margaret Collins and Andrew Zibart,
Collections Assistants
and
Frances Hardie, Assistant Director for Collections

Joint University Libraries
Nashville, Tennessee
May, 1975

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  - Engineering B: Electrical and Computing Sciences
  - Engineering C: Materials, Mechanics, and Structures
  - Engineering D: Socio-Technological Systems
- English
- Fine Arts
- French and Italian
- Geology
- German and Comparative Literature
- History
- Linguistics
- Mathematics
- Molecular Biology
- Philosophy
- Physics
- Political Science
- Psychology
- Russian
- Sociology/Anthropology
- Spanish and Portuguese
- Speech and Drama

INTERDISCIPLINARY STUDIES COLLECTIONS: CENTRAL AND SCIENCE LIBRARIES

- Afro-American Studies
- East Asian Studies
- Latin American Studies
- Slavic Area Studies
- Religious Studies
- Women's Studies

SPECIALIZED COLLECTIONS: CENTRAL AND SCIENCE LIBRARIES

- Government Documents Collection
- Central Reference Collection
- Special Collections
- Television News Archive

- Science Library Map Collection

PROFESSIONAL LIBRARIES AND COLLECTIONS

- Divinity Library
- Education Library
  - Curriculum Laboratory
  - Peabody Collection of Books on Children
- Graduate School of Management Library
- Law Library
- Library Science Library
- Medical Library
- Music Library

VIRGINIA LASKEY MEMORIAL LIBRARY (Scarritt College)

ADJUNCT COLLECTIONS

- Institute for Public Policy Studies

- Baudelaire Collection (See French and Italian)

PREFACE

This document is a working guide for the difficult task of attempting to balance the great mass of publications available, limited budgets, and the needs of library users. Financial considerations force librarians to be highly selective and discriminating in decisions on materials selections if they seek to provide only the most useful additions to collections. The compilers of this document have tried to include statements broad enough to encompass minor alterations without immediate revisions, yet detailed enough to be of practical use. They concern themselves with current selection, but keep in mind the need to anticipate future needs as well.

This first draft of May, 1975, represents a great effort on their part. They regard it as a practical instrument and fully expect to revise, as needs arise and emphases shift, to best represent the collections of the Joint University Libraries. To Frances Hardie, Assistant Director for Collections, and her staff go our deepest appreciation for their efforts.

Frank P. Grisham
Director of Libraries

INTRODUCTION

The need for a comprehensive collection policy for the Joint University Libraries has long been apparent. As a multi-library system serving three separate institutions, the JUL has grappled with the challenge of serving the Peabody, Scarritt, and Vanderbilt teaching programs and research interests with adequate, relevant library collections. The libraries included in this survey are the following: Central, (social sciences and humanities), Science (science and technology), Observatory (astronomy), Education (education and educational psychology), Music, Library Science, Divinity, Graduate School of Management, Law, Medical, and Scarritt.

Collections Policy Statement. This policy seeks to speak to the purpose of the various collections, the languages collected for each subject area, the geographical parameters, the chronological limits, and the types of material to be collected or excluded. The purposes of the policy are to help rationalize the collections by subject, to assist users by gathering like materials in one place, and to avoid unnecessary duplication. The policy also attempts to indicate the collecting levels needed to implement the academic program for each discipline. In other words, the depth of the libraries' holdings should accurately reflect the curriculum.

Faculty Involvement. The libraries' greatest resource in defining the collections, assisting in book selection, and in indicating gaps in the collections is the participation of individual faculty members. In the Central and Science Libraries some thirty faculty library representatives, appointed by their departmental chairmen, serve as the link between their departments in the College of Arts and Science and the School of Engineering and the Library. In each of the other libraries faculty members serve on library committees which consult with the library staff.

Library Staff Participation in Collection Building. For the purposes of drafting this statement as well as involvement in book selection and collection surveying, the librarians of the JUL system have volunteered to work in subject areas in which they have special interests and preparation. They prepared the first drafts of the statements on the basis of careful reading of the course offerings in the college and university bulletins, as well as their evaluations of individual subject collections and a survey of student theses and dissertations. These drafts were then submitted to the faculty library representatives, who were asked to circulate them to their colleagues for criticism and comment. The present draft is based on these returns. In the Professional Libraries the librarians in charge drafted the policies on the basis of their familiarity with the programs of their individual schools. It should be emphasized that all of the individual policy statements are subject to revision as course offerings, departmental emphases, and personnel change.

Sharing of Resources. It has become increasingly evident that libraries cannot meet all the varying needs of their constituencies unilaterally. JUL's membership in the Center for Research Libraries has in fact made this important collection an extension of our own. In at least two important areas we shall rely increasingly on the Center: expensive microform collections held at the center will not be duplicated locally, and the Center's enlarged emphasis on collecting current scientific and technical journals will enable us to reduce the number of expensive and less-frequently used journals housed in our own collections.

Another factor which will facilitate sharing of resources is our membership in the Southeastern Library Network (SOLINET) which will make available to JUL the vast bibliographic data base of the Ohio College Library Center, which among its other blessings will provide instant location information for inter-library loans. JUL, as one of the pioneer efforts at inter-institutional cooperation, has a vital interest in the emergence of a national system of library cooperation based on a series of regional networks.

Retrospective Selection. A further implementation of this policy will involve both the monitoring of current book selection and the retrospective checking of the subject collections to determine deficiencies. Presently most of the libraries of the system are spending basic monies on current publications. The funding by the Vanderbilt Library Excellence Fund of the retrospective segment has been of enormous significance in the effort to build in-depth in selective areas, as well as in the effort to extend current coverage.

Recommendations. It should be apparent from the policy statements that there are areas of overlapping in the several collections. To some extent these represent duplication of programs among the three institutions. They also represent the interdisciplinary nature of many programs. Among areas with special duplication problems to which attention will be devoted are the following:

GSM - Central: economics and business administration, women's studies, behavioural sciences
Education - Central: developmental psychology
Medical - Science: molecular biology, medicinal chemistry
Scarritt - Central: undergraduate studies, Africa, women's studies
Scarritt - Divinity: religion and the community

All of these overlapping areas represent challenges to book selectors to avoid unnecessary duplication and to bear in mind the needs of the total university community rather than the single segment only.

In assigning responsibility for collecting by subject area we have been guided to some extent by the Library of Congress classification schedules. Although they cannot be followed blindly, they will serve in the effort to gather kindred materials in each subject collection.

Presently there is no single catalog of the more than 1,250,000 volumes in the JUL. Research libraries everywhere are studying the future of the card catalog, and it is anticipated that future records of holdings will be in machine form.

Acknowledgements. In the preparation of this policy, grateful acknowledgement is made of the use of the model provided by the _Book Selection Policies of the Libraries of Stanford University_. Its format has been most useful. We are grateful, as well, to the many faculty library representatives, other faculty members, and our colleagues on the library staff, all of whom have given generously of their time to make these statements an accurate reflection of our collections as they are presently and as we wish them to be in the future.

Frances Isley Hardie
Assistant Director for Collections

SAMPLE FORM FOR POLICY STATEMENTS

General Purpose: The ________________ library collection is intended to support (undergraduate, graduate) teaching and research to the (B.A., M.A., Ph.D.) level, as well as individual faculty research projects, by acquisition of materials for the ________________ Library collection. (Include any particulars or exceptions necessary for an accurate description. A breakdown of any special requirements or areas of specialization for the different degrees may be helpful. If there is any cooperation with other funds or collections, please describe.)

Languages: (Give the languages that materials are collected in, preferences and depths of collecting, conditions for exceptions, and any excluded languages if there is such definite policy.)

Geographical Areas: (Give the locations or countries included for study; include areas of emphasis, exceptions, exclusions.)

Chronological Periods: (Note any major periods emphasized in study, any restrictions or limitations, any exceptions.)

Types of Material Collected: (See checklist.)

Types of Material Excluded: (See checklist.)

Other Factors: (If a field is automatically interdisciplinary, the other contributing disciplines, any arrangements for joint purchases, and any agreements regarding location could be indicated. Any other factors relating to the particular collection or to the particular library or university arrangement should be noted.)

Subjects and Collecting Levels: (Indicate the desired level toward which collection policy should be directed, not necessarily the existing level. Here changing interests and courses will be reflected. Occasionally, a subject level will exceed present or anticipated needs due to a particular need or interest shown in the past. Try to be specific in dividing an area into subjects: this will increase the usefulness of the statement when actual ordering is in question. The Stanford sample for a number of areas is less detailed than we would like. The information and course offerings in the bulletins and/or some standard bibliography in the field may be used for guidance. The collecting levels are described below.)

A. Intensive Level: This collecting level is intended to support doctoral and post-doctoral research with a high degree of adequacy and minimum of reliance on interlibrary loan or other outside sources. It should include, within the defined limits, all relevant published material in any language, together with as much documentary and original source material as the availability of funds and material allow. In addition to printed and microtext material, it may include manuscripts, maps, sound recordings, or other special materials. It allows for indefinite expansion of the research program and aims at exhaustiveness.

B. Comprehensive Level: This includes a wide range of published material, but very little manuscript or other non-print material except in narrowly defined fields or special needs. It is expected to support with reasonable adequacy the doctoral work now offered or likely to be undertaken in the near future, but will not support adequately a large graduate enrollment with many fields of concentration for the doctoral degree. There is more reliance on interlibrary loan or photocopy purchase from other libraries. Library catalogs might be purchased at this level, but not at a lower level.

C. Beginning Research Level: This policy includes fundamental works of scholarship, comprising primarily books and other published materials in Western languages or in a language specially relevant to the subject or language being taught (e. g., French, Russian, Spanish, Hausa, etc.). It is expected to supply everything required for undergraduate teaching and the majority of work required for research up to the Master's level; beyond this point it responds primarily to specific faculty or student demands. This level may develop more fully a particular aspect of the subject in response to a pragmatic need, but it is not intended to support an indefinite expansion of research.

D. Teaching Level: This policy maintains a collection needed to support undergraduate instruction effectively, and includes reference materials of all kinds, files of basic journals and periodicals, and a wide range of subject indexes and bibliographies. Undergraduate courses might not be offered in certain subjects maintained at this level, but the materials might be needed to provide peripheral or background information for courses being taught, or in anticipation of future developments.

E. Reference Level: This level includes materials selected primarily because of the relationship of a subject not formally offered to existing instructional or research programs or to serve occasional general needs. The collection is not adequate to support undergraduate instruction at an extensive level. In some subject areas certain aspects are developed at this level, although others may be developed to the A or B levels in line with department needs. The E level includes fundamental reference works such as dictionaries of special terms, subject bibliographies, and the like, perhaps a few periodicals, and some general treatises.

Types of Materials Collected or Excluded

monographs
serials
dissertations
treatises, compendiums
manuscripts, typescripts
facsimiles of manuscripts
translations
microforms
lab manuals
textbooks
newspapers
gazettes

documents (specify and add details: government, foreign, international, etc.)
reports (specify and add details: R & D, corporate, technical, etc.)
catalogs (specify and add details: college, museum, instruments, etc.)
maps (specify types), charts, atlases, gazeteers
proceedings and publications of various groups, organizations, conferences, etc. (specify)

pamphlets
newsletters
article reprints, preprints
special studies
letters and private papers
journals
student reports
lecture notes
scrolls
field notes
computer programs
private and company files
specifications and standards
equipment manuals
standard tests
devotional religious books

slides
filmstrips
motion pictures
videofilms
sound recordings (records, tapes, etc.)
other audio-visual materials
paintings
sculpture
original prints
photographs
pictures
portfolios
iconographic material
engineering drawings
magnetic tapes
educational games
signatures
newspaper clippings
albums
scrapbooks
programs
posters
promptbooks
scene designs, costume designs
costumes
artifacts
models
specimens
medical instruments
music scores; manuscript facsimiles
sheet music; popular songs
librettos
piano and organ rolls

bibliographies
indices
abstracts
directories
handbooks
source books
guidebooks
curriculum guides
filmographies
discographies
encyclopedias
dictionaries
grammars
linguistic atlases
citators
digests
court decisions
regulations and rulings
legislative materials
constitutional materials
patents

Collection Policy Subject: LATIN AMERICAN STUDIES

May, 1975

Bibliographer: Paula Covington

General Purpose:

The Latin American Studies collection is intended to support undergraduate and graduate teaching and research to the Ph.D. level as well as individual faculty research projects, by acquisition of materials for the General Library collection.

The Center for Latin American Studies offers an M.A. in Latin American Studies and supports M.A. and Ph.D. degrees offered in the participating disciplines of Economics and Business Administration, Fine Arts, History, Political Science, Sociology and Anthropology, and Spanish and Portuguese.

Languages:

Materials are collected primarily in English, Spanish and Portuguese, although some standard works in other languages which have not yet been translated are occasionally purchased.

Geographical Areas:

Latin America, understood to include Central and South America and the Caribbean. Emphasis is placed on Brazil, Gran Colombia (primarily Colombia, but also Venezuela and Ecuador), and Mexico. Surinam, Guyana, French Guiana and the Caribbean (with exception of Cuba) receive relatively little attention.

Chronological Periods:

No limitations.

Types of Material Collected:

Monographs
Serials, some newspapers and gazettes (primarily those not available through inter-library loan).
Reference works of all types (bibliographies, indexes, abstracts, handbooks, source books, directories, dictionaries, encyclopedias, dictionary catalogs).
Microforms (only when material is unavailable in other forms).
Proceedings and publications of various groups, conferences, and organizations (e.g. Publications of the Conference on Latin American History).
Government documents - some international (e.g. Organization of American States) - some national, provincial and municipal documents (e.g. some census materials, statistical yearbooks; materials primarily of a reference nature).
Dissertations (those not available through inter-library loan)

Types of Material Excluded:

Translations of material held in the original language (if English, Spanish, or Portuguese) would generally not be purchased.

Other Factors:

There is some cooperation with other funds, as Latin American Studies is an interdisciplinary program. Other departments affected include: History, Sociology, and Anthropology, Political Science, Economics, Fine Arts, and Spanish and Portuguese. Law, medicine, religion, and education information relating to Latin America will be housed in their respective libraries, in the JUL system. Pertinent information will be given in the book selection policies of the departments mentioned above.

Subjects and Collecting Levels:

		Collecting Level		
		Brazil	Gran Colombia	Other
History: includes intellectual, social, economic, political, diplomatic, religious, and military				
General collecting level	B			
Colonial		C	C	D
19th Century		B	A	C
20th Century		B	B	C
Sociology:				
General collecting level	C			
Anthropology: (excludes linguistics)				
General collecting level	B			
Ethnology				
Physical Anthropology				
Archaeology				
Political Science:				
General collecting level	B			
Economics:				
General collecting level				
Fine Arts:				
General collecting level	C			
Spanish and Portuguese:				
General collecting level				
Spanish				
Portuguese				
Geography:				
General collecting level	D			

Departmental Working Collections:

Introduction

On April 6, 1976 the Standing Advisory Committee on Collection Development concluded that it would be desirable to produce a document which would record the selection practices of the various units which comprise the Yale University Library system. It was proposed that this document consist of three parts: 1) a list of Library of Congress main subject classes broken down into their principle sub-classes as required to give an adequate statement of its structural components; 2) a set of codes to identify the respective units and collections of the Yale library system; 3) a set of two codes: a numerical code in which each reporting unit would indicate its selection level, and a letter code for the range of languages in which those selections are made.

Upon acceptance of this proposal by the University Librarian, the work of preparing the document began. The first phase required the selection officers of each library unit to record their current library materials selection practices using the codes defined by the Standing Committee on Collection Development. This process involved some adjustment of the Library of Congress class breakdown to be utilized in order to express better the collecting practices in certain subjects, collections and parts of the world.

In the second phase the editing facility of the Yale Computer Center was used to record the results of the above process and store them on disk at the computer center in such a way that they could be "Nscripted" onto paper in the form presented here. Having the information thus stored will allow changes and corrections to be conveniently made, but more importantly, it will permit the easy updating of even large scale alterations in collection development practices should that become necessary in the future. Mr. David Zinkin, who carried out all of the inputting, and most of the editing, has already developed programs which suggest some of the ways in which this data can be manipulated when available in machine readable form. For example, he has run a program which furnishes a profile of the selection practices of any contributing unit or combination of units in the library system. There is currently under way futher analysis of this rich source of information on the subject priorities which guide the growth of the Yale libraries and the commitment of its resources.

It is inevitable that questions will arise concerning the interpretation of some contributions to this document. Though it is impossible to anticipate these, a few observations may alert the user to some of the most obvious points of possible confusion. The selection officers were permitted to code a main class and not repeat that code for its subdivisions if the level of their selections did not change for any of those subdivisions. This is particularly important when looking up a subject in the alphabetical index of classes. For example, if "Torts" is looked up in the index, the reader will be directed to KF1246-1327, but upon finding that place in the classed list one might be confused by the fact that no selection code appears at that point. If, however, the main class position at KF is consulted one will find that the Law Library has placed code 5E for the entire KF class.

A difficult-to resolve interpretive problem is whether the numerical selection code number is "cumulative"; e.g., if a selection level of 4 is given, does it mean that the reporting unit also collects at levels 2 and 3? When the Mathematics Library gives a subject a selection level of 4, it may not mean that it also collects material at the much more elementary level of 2. If the unit in question is a larger one, such as the Kline Science Library, then it is more probable that the level given will have this cumulative characteristic. When addressing this problem, one should bear in mind the relations between the scope and character of the recording unit and the extent of the subject or geographical area in question.[1] It should also be noted that the Beinecke Rare Book & Manuscript Library has not been included in this program, though the purchase of rare books may be involved in maintaining the selection level of some reporting library units.

Thanks are extended to all the collection development personnel who gave generously of their time not only to fill out the classed list, but to suggest changes in the classes themselves in order to clarify the structure of a subject and to make the selection information fuller and more valuable. Special appreciation is also due to my colleague in this project, David Zinkin, who labored tirelessly to coordinate the many streams which contributed to the river of paper which flowed, and sometimes flooded, through his hands.

George H. Vrooman
Associate Librarian for
Collection Development
February 3, 1977

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[1] A list of short statements giving the size and responsibilities of the recording units is included with this document.

LOCATION CODES

SML	Sterling (general)
AFR	African Collection
EAS	East Asian Collection
EEU	East European Collection
LAM	Latin American Collection
SEA	Southeast Asia Collection
CCL	Cross Campus
DOC	Documents
ART	Art & Architecture
DIV	Divinity
DRM	Drama
MUS	Music
SSL	Social Science
EGC	Economic Growth Center
STA	Statistics
KSL	Kline Science
APY	Anthropology
CHM	Chemistry
ENG	Engineering
GEL	Geology
MAT	Mathematics
OBS	Observatory
ORN	Ornithology
LAW	Law
MED	Medical
FOR	Forestry
CLA	Classics

SML Sterling Memorial Library

Sterling Memorial Library is the central library of the Yale University Libraries. Housing about 4,000,000 volumes, the Library contains numerous special collections, including the area studies collections for Africa, South East Asia, East Asia, Eastern Europe, and Latin America, as well as several reading rooms and editorial projects.

AFR African Collection

Yale's African collections is among the five or six largest in the U.S. Holdings of English language monographs and journals on all areas and in all social science disciplines are near comprehensive, especially for Southern Africa, Nigeria, and Kenya. Francophone Africa is well represented, especially Zaire and West Africa (ex-AOF countries). African literary works in European and African languages constitute one of the top three U.S. collections. There is at least a partial run of one newspaper on film from each of almost forty countries. Post-1960 holdings of anglophone government documents are very good, but pre-1960 documents are patchy except for Rhodesia and South Africa.

EAS East Asian Collection

The East Asian Collection is an area-integrated administrative unit responsible for acquisition of library materials from East Asia; processing of Chinese, Japanese, and Korean language publications; and providing public services related to East Asian Studies. Its primary objective is to support East Asian Studies programs, and its chief collection development effort is with East Asian vernacular materials, which numbered 281,437 volumes as of December 31, 1976 (Chinese, 175,847 volumes; Japanese, 102,147 volumes; and Korean, 3,443 volumes).

EEU Slavic and East European Collection

The Yale Slavic and East European Collection, with major materials in the field of social sciences, literature, and history, provide the necessary resources for study and research. Deriving its primary strength from Russian, Czech, Polish, and Yugoslav books, the collection is considered one of the four best in the United States; in such specific areas as Russian periodicals of the nineteenth century, it is the most comprehensive in the country. In cooperation with the Beinecke Rare Book and Manuscript Library and the Historical Manuscripts Division of the University Library, the Slavic Collectio have in recent years vigorously expanded their program for the acquisition of archives and personal papers relating to the history, literature and politics of Russia and Eastern Europe.

LAM Latin American Collection

The Latin American Collection collects in depth in the subject fields of the humanities and social sciences for all countries from Mexico southward and including the islands of the Caribbean and Bermuda, but place a lower priority on the English and French speaking islands of the Caribbean, with the exception of Haiti. The collection is strongest in the Spanish and Portuguese speaking countries.

SEA Southeast Asia Collection

The Yale Southeast Asia Collection is one of the largest and most comprehensive collections on that area in the world. Although the acquisitions of private collections and the diligent collecting activities of faculty, graduate students, and library staff have given the collection significant strength in all subject areas, current selection policy is limited mainly to the social sciences and humanities. Within these disciplines the Collection still acquires materials on a fairly comprehensive basis from Indonesia, Malaysia, Singapore, and the Philippines. Acquisitions from mainland Southeast Asia (Burma, Thailand, Cambodia, Laos, and Vietnam) have been sharply curtailed during recent years and vernacular language materials from those countries are now acquired on a very selective basis, the emphasis being on history, Buddhism, and ethnography.

CCL Cross Campus Library

Directly supports most undergraduate curricula and many graduate courses as well. It is the major library for intensive-use materials. Contains 115,000 volumes.

DOC Documents Collection

Most official government publications are housed in a non-circulating collection in the Documents Room located in the basement of Sterling Memorial Library. The Documents Room is a depository for publications of governmental agencies of the United States and Canada, the United Nations and the Common Market.

ART Art Library

Contains 58,318 volumes on architecture, painting, sculpture, graphic design, minor arts and city planning as well as 456 current subscriptions. Serves the curricula of the Art History department, the school of Art & Architecture, and the Yale Art Gallery. Most research material in art is kept at SML, and is not contained in the above volume count.

DIV Divinity Library

Serves primarily students and faculty of the divinity school. Missions, theology, and Biblical studies are the major areas of collection. Contains 307,655 volumes and approximately 1,000 current subscriptions.

DRM Drama Library

Serves primarily students and faculty of the drama school. Aside from original dramatic works the collection contains criticism as well as works dealing with theater production, cinema, and dance. Contains 20,429 volumes.

MUS John Herrick Jackson Music Library

Serves the School of Music, the undergraduate Department of Music and the History of Music department of the Graduate School. The collection consists of 92,875 books and scores plus approximately 12,000 phonograph records.

SSL Social Science Library

Serves primarily graduate students in the areas of economics, education, political science, urban studies, geography, international relations, and administrative science. It is also the principal library for the School of Organization and Management. Contains 34,029 volumes and approximately 1,000 current subscriptions.

EGC Economic Growth Center Library

Collects statistical economic data from all over the world, the depth of collection being the heaviest for the less developed countries. Also contains monographs on economic development and national economics. There are 30,836 volumes in the collection.

STA Statistics Library

Contains 2,956 volumes on the theory of statistics. Serves faculty and students in the statistics department.

KSL Kline Science Library

Supports undergraduate and graduate level courses and research in the areas of biology, biochemistry, chemistry, history of science, molecular biophysics, oceanography, paleontology, and physics. Contains 315,786 volumes with approximately 2,000 current subscriptions.

APY Anthropology Library

The library serves as a reference and research collection for anthropology faculty and researchers, as well as a working collection for graduate students in the Department of Anthropology. It contains 10,550 volumes with 191 current serial subscriptions.

CHM Chemistry Library

Is a working collection for the research activities of the Chemistry department. Contains 12,032 volumes with 212 current serials.

ENG Engineering and applied science library

Supports students and faculty in the Department of Engineering and Applied Science and the Computer Science Department. In addition to engineering material the library also collects in the area of applied physics.

GEL Geology Library

Covers all aspects of physical geology, historical geology, and paleontology. Its [illegible]1,159 volumes include complete sets of U.S. Federal and state surveys. 2,085 serials are currently received.

MAT Mathematics Library

Supports the teaching and research Department of Mathematics. Has a strong collection in pure mathematics. Contains 20,373 volumes with 231 current serial subscriptions.

OBS Observatory Library

Serves the special requirements of faculty engaged in teaching and research and for graduate students in the department of Astronomy. Contains 14,685 volumes.

ORN Ornithology Library

Is a research collection used mainly by the staff and students of the Division of Vertebrate Zoology, Peabody Museum. Contains 17,131 volumes.

LAW Law Library

Serves students and faculty of the Law School. Contains 562,928 volumes on domestic, foreign and international law and approximately 7,800 current subscriptions. Also serves as a research center for legal scholars.

MED Medical Library

As well as the School of Medicine, the library also serves the School of Nursing, the Yale-New Haven Hospital, the various graduate programs at the Medical Center and the health professions at large. Contains 434,061 volumes and 2,499 current subscriptions.

FOR Henry S. Graves Memorial Library (Forestry)

One of the largest forestry libraries in existence, it contains 120,067 volumes relating to forestry and environmental studies.

CLA Classics Library

Serves faculty and students of the Classics department and contains 17,741 volumes on Greek and Latin authors, ancient history, and archaeology as well as a standard reference collection. 207 serials are currently received.

Explanation of Collecting Codes

Extent of selection:

1. Minimal selection: Very few selections are made.

2. Selections for basic information: includes general materials which will aid readers' immediate understanding of a subject. Such selections might consist of dictionaries, encyclopedias, handbooks, texts, basic serial material, or a combination of these, in the minimum number which will serve this purpose.

3. Selections for Instructional Support: adequate support for undergraduate or graduate instruction, as required. This category might include a selection of the major reference tools, the most important monographs and the outstanding journals in the field.

4. Selections for dissertations and professional level research: includes the major source materials required for dissertations. This would involve a very wide range of reference works and monographs, selective archival materials, as well as a comprehensive representation of relevant journals and serial publications.

5. Selections for exhaustive coverage: in so far as is reasonably possible, this category would include everything of importance, published or unpublished, on the subject.

Language coverage:

E-English language material predominates with little or no foreign language material chosen.

P-Monolingual where the primary language is not English.

F-Restricted range of languages depending upon the subject.

W-Relatively unrestricted range of languages.

Note: Specific languages will be noted when appropriate.

UNIVERSITY OF HOUSTON

PREFACE

Librarians, faculty, and academic administrators have long been frustrated in their attempts to devise mechanical formulae for the allocation of book funds to particular subjects, disciplines or academic departments. So many factors are involved--the extent of reliance on library materials by various disciplines, differences between subject areas in the average cost of books, variations in the number of faculty and students in particular disciplines, the extent of graduate programs in each area, not to mention past history and campus politics--that such efforts are inevitably doomed to failure by the very nature of the problem. The University of Houston is no stranger to this frustration, as the minutes of the University Library Council through the years will testify.

Part of the problem is that such attempts have always been made in the absence of any clear-cut, agreed-upon library acquisitions policy. Without knowing what we proposed to buy, subject by subject, it has naturally been difficult to decide how much money was needed to buy it. A better approach would seem to be the development of comprehensive book acquisition policies, after which qualified persons with a knowledge of publication patterns and the book trade can estimate with a fair amount of precision the amount needed to execute those policies.

Sound acquisition policies, however, must be based on the academic program and priorities of the university, since support of those programs is the primary goal of the library. Beginning in the spring of 1972, therefore, twelve librarians with assigned responsibility for particular subject areas met with the faculty of each department and reached agreement on the areas of emphasis and the level of teaching and research in each branch of each discipline. Meetings with the academic administration and the University Library Committee produced rough guidelines on current academic priorities. With these in hand, the acquisitions policies reproduced in this manual could then be written, discussed with the faculty and agreed on.

The payoff, of course, is in the budget. For the 1972/73 academic year, the library for the first time could feel that it was operating with a book budget based on policy, rather than on other, less cogent considerations, and that the policy was not only agreed upon by all concerned but rooted in the programs, priorities and goals of the university itself. The library staff's satisfaction with this changed procedure was exceeded only by the University Library Committee's relief at being freed from the annual wrangle over book allocations.

Naturally this did not all come about without an impressive amount of effort and dedication on the part of the staff members involved. The subject librarians spent countless hours in addition to their other duties meeting with faculty, studying publication patterns in their fields, and writing the individual statements; their zeal was a major factor in the completion of a task accomplished at few other institutions, and perhaps at none in so short a time. Particular thanks are also due to Zelda Osborne, the Assistant Director for Collection Development, who supervised the project from its beginning, and to Michael Bruer, Assistant Director for Operations, who worked closely with the subject librarians as the work progressed and edited the final results. Without their combined wisdom, experience and encyclopedic knowledge of the book trade and its intricacies, none of this could have been accomplished.

The collections of the library form the primary research instrument of the university, and the acquisition policy of the library is the prime instrument for the development of those collections. I am personally grateful to all of those who worked so hard to produce it, and I commend this first edition to those who will profit from it most: the university's community of scholars.

Stephen R. Salmon
Director of Libraries

UNIVERSITY OF HOUSTON LIBRARIES

ACQUISITIONS POLICY

Introduction: No matter how platitudinous and broad, an acquisitions policy statement can not be definitive for all time. A library is not a static thing. Any statement to guide collection development must be flexible and should be subject to periodic review and study. Book prices continue to rise, publishing out-put increases, and the amount of the budget is reliably uncertain. The library staff can only try to anticipate changes and shifts in emphasis that occur in a growing institution with rapidly developing programs. Recognition of these factors is essential even though it may necessitate rearrangement of priorities. An awareness of existing library resources in the region is needed, and cooperative acquisitions arrangements among the libraries are being encouraged and promoted.

General Policy Statement: The library will plan to acquire, as far as practicable, all materials needed to support the teaching and research programs of the university, along with general reference works traditionally found in a university library. Archival material, rare books and manuscripts will be acquired only within established guidelines. Current publications of popular appeal and interest, but of peripheral value to the teaching-research functions, will be secured as funds permit. Books written in minor esoteric languages not represented in the curriculum will be given very low priority.

Materials purchased will include monographs, sets, newspapers, journals and other serial publications, maps, pamphlets, music, photoreproductions, government documents, microforms, audio visual materials and realia. All purchases made with library funds become a part of the library collection. The library will not normally purchase materials to be used solely for classroom instruction.

Multiple copies of titles and replacements for lost or mutilated volumes will be secured when instructional need is indicated. Purchase decisions will be based on (1) demand and use, current or anticipated; (2) requested class reserve; and (3) need to preserve and retain permanently, e.g., specific journals.

Pamphlets, often ephemeral in nature, will be catalogued and added to the collection at the discretion of the subject librarian. Reprints of journal articles will be purchased only for reserve purposes.

Textbooks adopted for classroom use by the University of Houston will be purchased only after the subject librarian and faculty member have agreed on need and utilization.

Out-of-print materials will be purchased with subject allocations.

As a state institution, the library receives Texas state documents, and is a selective depository for United States government documents. Standing orders provide official publications of the United Nations, International Labour Organization, Organization of American States, and the Organization for Economic and Cooperative Development. The library will secure on a selective basis additional material wanted from these sources. The same policy will apply to official publications issued by other states, international organizations, regional bodies, municipalities, and foreign governments.

The library will acquire and preserve materials relating to the history, development, and character of the University, the community and the state. These materials will be housed in Special Collections and guidelines for the acquisition of these materials may be found in the Special Collections policy statement.

As a general policy, material for Special Collecitons will be secured by donations. Rare books and manuscripts may be purchased with state funds, however, to fill in gaps in an already existing collection, or to provide material for a specific research project. In the latter case, payment will be made from the appropriate subject allocation. Purchases of this type up to $500 may be selected by the Curator or secured on recommendation of the department concerned. Items priced above this amount will require approval of the Director. Some purchases from other funds may be kept in Special Collections because of age, price, or other considerations.

The library will purchase published monographs written by faculty members when copies cannot be secured as gifts. Faculty members will be asked and encouraged to donate autographed copies of their works, one copy of which will be preserved in Special Collections.

Book Selection: Subject Librarians may be defined as library faculty who help to develop the collection; serve as reference or resource personnel; and serve as liaison between the library and the university community. These subject librarians have been assigned book selection responsibility in specific subject areas, and will relieve the faculty of the most mundane and tedious bibliographical tasks. However, faculty members are encouraged to continue their traditional participation in book selection and furnish the required expertise.

The subject librarians have formulated acquisition policy statements for all instructional departments and interdisciplinary, or area study, programs. Statements for the latter have been submitted because, even though much of their material is included in selection policies of the related disciplines, the library supports all but one with separate fund allocations. Interdisciplinary programs include Latin American Studies, Mexican-American Studies, Afro-American Studies, Hotel-Restaurant Management, and Urban Studies.

Non-instructional areas for which policy statements have been prepared are Bibliography, Library Management, Government Documents, Special Collections, Rare Books, and Manuscripts.

Each policy statement contains the following information:

(1) General purpose of the collecting policy

(2) Languages collected and languages restricted

(3) Geographical areas for which materials are collected

(4) Chronological limitations, if any

(5) Types of material collected

(6) Types of material excluded, if not implied by information under 5 above

(7) Remarks to further explain or clarify; or, other factors, if any, with specification.

A specific collecting level has been assigned to each subject, determined to a great extent by the current program of the particular discipline, but also based on findings and recommendations of faculty, staff and the consultants who evaluated the library collection in Spring, 1972. Most subjects are divided into sub-sections with a separate collecting level assigned to each. The collecting levels are defined as follows:

(1) Comprehensive: adequate to support all existing or anticipated research on campus;

(2) Research: adequate to support doctoral work with some assistance from other libraries;

(3) Advanced: adequate to support the writing of master's theses with some assistance from other libraries;

(4) Undergraduate: adequate to support undergraduate courses;

(5) Basic: adequate to provide introductory knowledge of the subject.

Return with documentation to:

Association of Research Libraries
Office of University Library Management Studies
1527 New Hampshire Avenue, N.W.
Washington, D.C. 20036
Phone: (202) 232-8656

COLLECTION ANALYSIS PROJECT SURVEY
4/77

ARIZONA STATE

II. Collection Development Philosophy/Policy

Please forward to the OMS any statements of philosophy of collection development and/or any existing collection development policies. These might include policies for operational use in building collections as well as statements intended to describe collections policy to users.

If no written statement currently exists, please describe briefly the current collection development emphasis at your library (e.g. buying on basis of probable future use; buying to maintain existing research collection strengths; buying to support current university curriculum and research; etc.)

II. There is no general collection development statement for Arizona State University. Generally such statements, if they are to be adopted by any campus groups, have to be so vague and generalized if there is to be any agreement about adopting them that they are almost useless with respect to any particular decision. We have instead developed policy statement about specific areas when and as it became obvious that they were needed. Attached as Attachment One are samples of such statements. Generally these statements are phrased positively but their real utility is in deciding what we will not do and in communicating that decision. Librarians usually write them and the faculty are usually "consulted" but few if any changes are made as a result of that consultation. If individual faculty or department object to the limitations of the statements, they are taken to the University Library Committee, which always supports the Library, largely because the individual discipline never has more than one representative on the Library Committee and sometimes not that. We also like to think that we get University Library committee support when needed because the statements are reasonable.

ARIZONA STATE
UNIVERSITY
UNIVERSITY LIBRARY
TEMPE, ARIZONA 85281

August 5, 1976

MEMORANDUM

TO: Professional Librarians

FROM: D.W. Koepp, University Librarian Donald W Koepp

SUBJECT: Attached

The acquisition of the catalogs of other libraries, or of special collections of other libraries, represents a new problem for university libraries. During the last ten or fifteen years, the publication of such catalogs has grown enormously. The G.K. Hall Co., perhaps the world's leading producer of book catalogs, currently has available 240 catalogs at a total cost of $260,000. During one three-month period in 1976, the Arizona State University Library received requests to purchase 15 catalogs at a total cost of nearly $10,000. Supplements to existing catalogs add significantly to annual costs. Moreover, there is every indication that both the numbers of catalogs, and their costs, will continue to rise.

More important than the question of cost, however, is the real issue of the usefulness of these catalogs. It is often argued that such catalogs are useful, if not indispensable, aids to both the public service and technical service programs of the academic library and to the instructional program of the University. And yet experience demonstrates that many of the catalogs of other libraries sit unused in the Library. Usually the reason is simple: a record of the particular library's holdings is available in the National Union Catalog already held by the Library and much more efficient as a location and verification tool. Or it might be, as is the case with most special and rare collections, that the library in question will not lend its materials on interlibrary loan - will not even, in many cases, copy the material for a charge. So much for accessibility to that library's collection. As collection building tools, the catalogs of other libraries are usually inferior to those subject bibliographies and book lists that are designed expressly for this purpose.

Of course, the problem cannot be reduced to a simple blanket solution: some catalogs are useful and should be purchased. What we must do, in the face of rising costs and the veritable explosion of catalog publication, is limit acquisition to those catalogs which will truly improve library service.

The attached criteria should be consulted by anyone who is recommending that the Arizona State University Library purchase the catalog of another library. The same criteria will be used in evaluating each request.

DWK:bh

ARIZONA STATE UNIVERSITY LIBRARY
POLICY MEMO

August 1976

CRITERIA FOR PURCHASE OF CATALOGS OF OTHER LIBRARIES:

1. Is the catalog relevant to the curriculum of the University? Does the University offer a graduate degree program in the subject area encompassed by the catalog? How many potential users of the catalog?

2. Is the catalog duplicated in whole or in part by catalogs already held by the University Library? Example: the William Andrews Clark Memorial Library Catalog, currently priced at $1,240 for 15 volumes, is entirely duplicated in the UCLA Catalog, already owned by the University Library.

3. Does the library represented by the collection extend interlibrary loan borrowing privileges to other libraries? If not, will the library photocopy its materials? Microfilm them?

4. Will the catalog assist in collection building in a subject area where a graduate program is just beginning? Or will it serve as a monitor of the collection within an already established graduate program? If so, will it be unique in these functions, or is there already available a basic collection guide within the subject area?

5. Does the catalog analyze periodical articles, research reports, parts of monographs which will make it useful as a reference tool? Does no other known reference tool-index or bibliography -- perform these functions?

6. Will the catalog perform a unique and useful function in the technical services area of the Library; i.e., a function not already performed by one of the traditional library verification tools?

7. If the catalog's primary proposed use is in the area of textual or bibliographic studies, how effectively will it aid the student of bibliography? Are the bibliographic descriptions of scholarly quality? Are variant editions likely to be just as easily found and as accurately recorded in tools such as the National Union Catalog or the British Museum Catalog?

8. Does the catalog represent a collection which is near Arizona State University? Would it be reasonable for faculty and students to travel to the library to use unique and otherwise inaccessible items?

ARIZONA STATE UNIVERSITY LIBRARY
POLICY MEMO

April 1976

POLICY CONCERNING THE SELECTION OF BOOKS IN THE FIELD OF RELIGION FOR THE ARIZONA STATE UNIVERSITY LIBRARY

Religion is one of the most difficult subject areas of book selection in any library. Each year, thousands of religious books are published; in recent years nearly 8% of the total book production in the United States has been in the field of religion.* No library can purchase every religious book published; most libraries must, in fact, be very selective.

The primary purpose of the collection of religious materials in the Arizona State University Library is to support the Religious Studies courses offered by the Center for the Humanities. As Religious Studies is presently an "emphasis" within the Center for the Humanities and not a degree program, anything beyond a survey coverage in the field of religion must be justified on the grounds of the book's substantial relevance to one of the disciplines on campus which offer graduate programs. The religion collection is not intended to support graduate and/or faculty research.

The following general guidelines and categories of religious books should be studied carefully by everyone who recommends religious titles for Library purchase:

1. Scholarly treatments will be preferred over non-scholarly and popular treatments.

2. Preference should be given to books that have been well reviewed in the responsible review media.

3. Preference should be given to works which treat the world religions objectively and comparatively and to works which treat the relationships between religion and other areas of human behavior: the arts, social movements and institutions, etc.

4. Materials published by the presses of religious denominations will be purchased only on a selective basis. Some of these are worthwhile additions to the University Library collection; many, however, are of interest chiefly to practising members of the denominations and have little value in a survey collection.

5. *Older Titles.* Older books offered for sale by reprint publishers and antiquarian book dealers should meet the same criteria as recently published titles.

6. Polemical writings, whose chief purpose is to demonstrate the superiority or inferiority of particular religions and sects, will ordinarily not be purchased.

7. *Pamphlets.* Most soft-bound materials that are less than 50 pages are not very useful in an academic library. These will be acquired on a highly ective basis and will not ordinarily receive full library cataloging, will be placed in the Library pamphlet file.

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* *Bowker Library Annual*... 20th ed., 1975, p. 163.

CATEGORIES OF RELIGIOUS BOOKS

1. General Reference Materials. A representative collection of general reference books in the field of religion will be purchased. These include general encyclopedias, dictionaries, bibliographies, guides to the field, etc.

2. Specialized Reference Materials. Reference books which are narrow in scope - biblical concordances, denominational handbooks, etc. - will be purchased selectively.

3. History of Religion. Comparative histories of world religions, the religious histories of major world regions (e.g., the Orient), and of countries will be purchased on a selective basis. Special attention will be given to the history of religion in the United States. Denominational histories will be purchased only on a highly selective basis. Also, see #11 below.

4. Biographies. Books which treat the lives of well-known religious figures will be acquired on a representative basis. Biographies of local religious personages - e.g., memorials to local clergymen, stories of personal conversions - will not ordinarily be purchased. Also, see #11 below.

5. Scriptures and Scriptural Commentaries. The sacred books of the world religions will be collected on a representative basis. Reviews and annotated bibliographies should be consulted for assistance in choosing the most useful versions, translations and/or editions. Scriptural commentaries will be purchased only on a highly selective basis, as they are more appropriate to a theological library than to a survey collection in a University library.

6. Theological Treatises. Selective. Only those works by theologians with international reputations.

7. Introductions. Introductions to the world religions will be purchased on a highly selective basis. *Books for College Libraries* and *Choice* will provide some guidance in selecting the best introductory books.

8. Sermons. Unless they are of universally acknowledged literary and/or historical value (e.g., John Donne, Jonathan Edwards), collections of sermons will not ordinarily be purchased.

9. Homiletics and Other Ministry Aids. The Library will ordinarily not acquire this type of material which is more appropriate to a parish house or seminary library. Gifts will be accepted on a highly selective basis.

10. Spiritual Reading, Inspirational and Self-Help Books. The Library will not acquire this sort of material, which is more appropriate to a church library or a public library. Gifts will be accepted on a highly selective basis.

11. Religion in the Southwest. Books on religion in the Southwest which are useful as reference and research materials in Southwest history will be collected. The focus of such books should be on the role of religion in settlement, colonization and movement of peoples, not on theology or church administration.

STATE UNIVERSITY OF IOWA LIBRARY

ACQUISITION POLICY STATEMENT

The function of the Acquisitions Department of the University Library is the acquisition of books and related materials which will strengthen the University's resources for instruction and research. Basic to this function is the selection of the materials to be acquired. The importance of wise selection has increased with the increase in book production, book costs, needs for books, and the costs of acquiring, cataloging, housing, and servicing books. In order to aid in the planning of wise and proper acquisitions for the Library, a statement of policy may serve as a guide to those responsible for selection.

It is not intended or indeed possible that such a policy statement be definitive for all time or even for a long time. The interests and emphases of the University change from year to year and the Library must respond to these changes if it is to achieve maximum efficiency and usefulness.

Obligations

The Library recognizes four obligations in acquiring materials for the use of its patrons and for cultural preservation:

1) To provide library materials needed in the instructional program of the University.

2) To provide library materials needed by students and faculty in their research.

3) To provide library materials required for general information in subject areas not covered by the instructional and research programs of the University.

4) To preserve all significant materials relating to the history and development of the University.

Limitations

In attempting to meet its obligations within the limits of its resources, the Library will, in general, follow these practices:

1) Library resources of this region will be considered in the selection of areas for intensive collection.

2) Consideration will be given to both the privileges and responsibilities of cooperative acquisition plans.

3) Materials may be acquired in suitable copy if originals are not obtainable.

4) Although the Library recognizes an obligation to provide materials desired by students and faculty in their research, the volumes needed in a particular investigation which are not in the collections may not be obtainable when desired or may be priced at a figure higher than the Library can afford. Accordingly, before a graduate student settles on a thesis topic which will depend on access to graphic materials, he should determine in consultation with his advisor and with the Library whether the essential records are in the collections or are readily procurable. If this determination is made at the beginning of an investigation, the Library will endeavor to acquire additional relevant materials, but these may not be obtainable until the immediate need for them has passed.

5) Duplicate copies of publications will be purchased when necessary to fulfill the instructional needs of the University. We shall attempt to restrict duplication of specialized research materials.

6) We shall make no special effort to collect publications in non-Roman, non-Greek, and non-Cyrillic alphabets, even in subject areas in which we attempt comprehensive coverage, if there is no patron interest in or facility with the language.

Degrees of Intensity of Acquisition in Specific Subject Areas

Needs and demands vary in the various subject areas. To indicate how far this Library will go in meeting these needs, we shall recognize the following degrees of intensity of acquisition effort which will be made within the limitations listed above:

1) General

A selective collection serving to introduce and define the subject and to indicate the varieties of information which are available elsewhere. It shall include some textbooks, dictionaries, encyclopedias, selected editions of important works of major authors, historical surveys, biographies, and several periodicals for keeping in touch with current scholarship in the field.

2) Instructional

A good working collection designed to meet all instructional needs. It shall include a wide range of basic works, complete collections of the works of more important figures, both authors and critics, selections from the works of secondary writers, yearbooks, handbooks, a wide range of representative journals, and the fundamental bibliographical apparatus pertaining to the subject.

3) Limited Research

A collection which will be more comprehensive than that designed for a purely instructional program and which will be sufficient for those areas in which the graduate work is predominantly at the Master's level, in which there is a small faculty, or in which the interest is in relatively few aspects of the total subject.

4) Comprehensive Research

A comprehensive collection adequate for the independent research of both graduate students and faculty, including current publications of research value and such retrospective publications as are deemed desirable by the faculty and are procurable. It shall include all the important or useful works, original editions of the classics in the field, and an extensive assemblage of critical and biographical works, contemporary pamphlets, published documents, and the fullest possible list of journal sets and bibliographical tools.

5) Distinguished Special Collections

A collection including as far as possible all publications of research value, including related materials such as manuscripts, archives, and ephemera. Such collecting will be undertaken only in restricted areas, such as materials by and about a single literary or historical personage.

It will be recognized that the above scale can serve as a general guide only and that the numbers cannot be interpreted with rigidity. Within each degree of the scale there are variations, and within any subject to which a number is assigned various aspects will receive greater or lesser attention than certain other aspects. Thus in the field of European history, the Library purchases relatively little in the more specific area of Scandinavian history, but a great deal in the areas of French and German history.

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To the attached acquisitions policy statement one might add that the current university curriculum and research must be our first concern. Probable future use and maintenance of existing strengths are strong secondary concerns in approximately equal proportions. Thus, the "lean" years, the preponderance of purchases is usually in support of current needs while in relatively "fatter" years our secondary goals receive more attention.

Association of Research Libraries
Office of University Library Management Studies
1527 New Hampshire Avenue, N.W.
Washington, D.C. 20036
Phone: (202) 232-8656

COLLECTION ANALYSIS PROJECT SURVEY
4/77

UNIVERSITY OF MICHIGAN

THE UI

II. Collection Development Philosophy/Policy

Please forward to the OMS any statements of philosophy of collection development and/or any existing collection development policies. These might include policies for operational use in building collections as well as statements intended to describe collections policy to users.

If no written statement currently exists, please describe briefly the current collection development emphasis at your library (e.g. buying on basis of probable future use; buying to maintain existing research collection strengths; buying to support current university curriculum and research; etc.)

Collection development at the U. of M. attempts to support both present and future needs. The emphasis varies -- in most of the physical sciences, in technology and medicine, and in the biological sciences except for taxonomy, support of current needs for instruction and research absorbs nearly all the available funds. Their need for current publications over older materials is an additional justification. The Undergraduate Library also concentrates almost entirely on current publications in active demand. In the Graduate Library and in the divisional libraries supporting the social sciences and humanities, much more emphasis is given to building up a collection which will support future needs, and some effort is made to acquire retrospective materials to improve our collection and fill gaps in subjects in which research is being done. Our Rare Books collection is almost entirely supported from trust funds, but here also the materials acquired are selected for research potential rather than simply as collectors' items.

THE UNIVERSITY OF MICHIGAN
UNIVERSITY LIBRARY

SC - C15
May 9, 1975

STAFF CIRCULAR No. C15

SUBJECT: Book Selection in the Divisional Libraries

The purpose of this staff circular is two-fold: to call to the attention of divisional librarians and others engaged in book selection the principles on which the acquisitions program of the University Library is based and to underlie the importance of correlating selection with these principles.

Totality of University Library Collections. The University Library is an aggregate of more than 25 divisions and special collections. The book and journal resources in their totality are available to all divisions and may be drawn upon in accordance with the circulation code of the University Library.

Purpose of Divisional Libraries. Divisional libraries are maintained primarily as subdivisions of the field of knowledge, even though considerations of space or service convenience may underlie their establishment. The basic responsibility of the divisional library must be to select books and journals in the subject fields to which it is assigned and to restrict peripheral or "fringe" collecting which overlaps the resources of another division.

The area of selection responsibility must be covered in the range and depth required by the teaching and research demands of the departments which the divisional library serves. Wherever and whenever the book selection of any division is expanded into the areas of another division, consideration must be given to the implication of such an expansion. When two or more departments, each with a special library, are so closely related in subject fields that differentiation becomes acute and competitive, the divisional librarians and their faculties should make joint decisions on the assignment of subjects or topics to one library or the other. In general, assignments or reservations should be made on the basis of preponderant interest and continuing need.

Duplication. The University Library attempts to limit duplication to that which is deliberate and necessary. The basic policy is to purchase one copy of each book selected for the collection. Additional copies are needed of titles which are on reserve for large courses and of others which are heavily used; copies in other locations may be acquired for good service to students and faculty. Requests for duplicate materials should be considered carefully and the materials ordered only if the need can be justified.

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*This page replaces page 1 of SC - C15 dated December 29, 1959.

Neither the faculty nor the students can expect to have within reach on the shelves of one division all the material they may require for course instruction or research. Divisional libraries must not be regarded as self-sufficient entities. The concept of interdependence of all branches of the University Library provides the framework within which all divisional libraries operate.

The Undergraduate Library. The Undergraduate Library is an inter-curricular or inter-departmental division of the University Library. In this capacity it is responsible for the handling of the majority of courses numbered 1-199 in the College of Literature, Science, and the Arts. It bears the additional responsibility of maintaining a critically chosen basic collection to support in its broadest aspects the general education program of the University. In book selection the Undergraduate Library aims at quality rather than completeness. Accordingly, it will duplicate other resources in the University Library only to the extent that duplication is required to fulfill its function. The Undergraduate Library, like all other divisions of the University, cannot be self-sufficient and is not, therefore, expected to satisfy all the demands that may be made upon it either for books or for journals.

Book Selection Department. Book budgets impose restraints; policies draw boundaries. To the end that budgets and policies may be continuously associated in the development of the University Library collections, the Book Selection Department has as one of its functions the review and evaluation of the book selection program throughout the University Library system. By means of this review the Director is able to keep abreast of all matters pertaining to selection.

It is inevitable that in the exercise of its reviewing and evaluating function the Book Selection Department should appear to be in conflict with divisional librarians and their faculties. The conflict is occasional and arises usually when acquisitions policies and principles are at issue. It must be emphasized that the Book Selection Department is required to question all instances of selection involving a departure from general policy, the duplication of books and journal subscriptions, the transfer of materials within the library system, and the acceptance of gifts. Accordingly, the department often asks that divisional librarians "justify" their requests.

In the algebra of justification are many factors: adequacy of budget, increasing demand, introduction of new courses, special projects, convenience, student interest, and faculty research. So long as the selections fall within the area responsibility of the divisional library and funds are available to purchase them, justification is not required. When, however, the selections appear to disregard the basic collecting policies and service functions of the University Library, they will be withheld until justification can be made. While it is evident that the organization of instruction, the classification of knowledge, and the divisions of the University Library cannot be closely coordinated, there is nothing in the structure of the University Library to prevent the coordination of service by which the book collection is made accessible to the entire University community.

Frederick H Wagman
Frederick H. Wagman
Director

Index under: Book Selection
Book Selection Department
Divisional Libraries
Undergraduate Library

THE UNIVERSITY OF MICHIGAN
UNIVERSITY LIBRARY

SC - CD35
April 8, 1976

STAFF CIRCULAR No. CD35

SUBJECT: Selection Policy Statement: Dissertations and Theses

The Graduate Library Reference Department maintains a complete collection of Ph. D. dissertations deposited by the School of Graduate Studies, beginning in 1927. A microfilm copy of each is also kept, beginning in 1948/49. (The School of Graduate Studies holds a collection of U.M. Ph. D. dissertations from the years 1916 - 1949.) A collection of foreign dissertations from about 1930 to 1970 is held in storage. No additions are currently made to this collection. The Graduate Library selectively acquires non-U.M. dissertations by purchase and as gifts. It also holds dissertations acquired by the area programs the Near East Division acquires dissertations using the same criteria applied to books; the South Asia Division collects U. S. dissertations very selectively or on request, and acquires a few from Great Britain, Australia, Europe, and South Asian countries; the Southeast Asia Division also selectively collects U. S. dissertations and acquires a few from Great Britain, Australia and Europe; dissertations are generally not available from the Soviet Union, a few are collected from other East European countries. Specialists' papers and Masters' theses from the School of Education are collected and are housed in storage.

The Medical Center Library maintains a collection of U.M. theses and dissertations in nursing, and selectively collects other theses and dissertations.

No theses or dissertations are collected by the Undergraduate Library.

The Divisional Libraries collect dissertations in their areas of interest as follows:

The Architecture Library collects all D. Arch. dissertations from the College of Architecture and Urban Planning. Other dissertations are selectively acquired by purchase, gift or exchange.

The Asia Library acquires dissertations in response to requests and those which reflect trends in the field. It also tries to acquire copies of Masters' theses and Ph. D. dissertations from the Center for Chinese Studies, the Center for Japanese Studies, and the Department of Far Eastern Languages and Literatures. This collection is not complete, and is duplicated in the complete holdings of the U.M. Ph.D. dissertations deposited in the Reference Department.

The Bureau of Government Library does not acquire U.M. dissertations. It acquires Ph. D. dissertations from other schools very selectively.

The Chemistry-Pharmacy Library maintains a complete collection of U.M. Ph. D. dissertations in chemistry and a selective collection of U.M. Ph.D dissertations in pharmacy. Dissertations from other schools are rarely acquired.

The Dentistry Library maintains a complete collection of U.M. Masters' theses in dentistry, and Ph. D. dissertations in dental public health. A complete collection of dissertations of dental programs combined with other disciplines (e.g., biochemistry, dental materials, engineering, human anatomy, pharmacology) is also maintained. Dissertations from other American schools and foreign dissertations are selectively collected.

The Engineering-Transportation Library receives some U.M. Ph. D. engineering dissertations as gifts and collects very few others. The North Engineering Library maintains a complete collection of U.M. Masters' theses and Ph. D. dissertations from the Nuclear Engineering Department.

The Fine Arts Library maintains a complete collection of U.M. Ph. D. dissertations from the History of Art Department and collects those from other schools as well as foreign dissertations very selectively.

The Library Science Library collects U.M. Ph. D. dissertations available from the School of Library Science and collects others selectively.

The Mathematics Library maintains a complete collection of U. M. Ph. D. dissertations from the Departments of Mathematics and Statistics and acquires selectively dissertations from other schools.

The Museums Library acquires a few U. M. Ph. D. dissertations, chiefly in zoology, and very selectively acquires important foreign dissertations.

The Music Library maintains a complete collection of U.M. Ph. D. dissertations from the School of Music, a selective collection of U. M. Masters' theses in music, and a very selective collection of dissertations from other schools.

The Natural Science/Natural Resources Library maintains a comprehensive collection of U.M. Masters' theses in natural resources and geology. Few other theses or dissertations are acquired.

The Physics-Astronomy Library maintains a complete collection of U.M. Ph. D. dissertations from the Departments of Physics and Astronomy and acquires selectively dissertations from other schools.

The Public Health Library maintains a complete collection of U. M. Dr. P. H. dissertations and acquires other U. M. Ph. D. dissertations from the School of Graduate Studies in fields related to public health. A collection of older U. M. Masters' theses is held.

The Social Work Library maintains an incomplete collection of older U. M. Masters' theses from the School of Social Work. Dissertations and theses are acquired very selectively by purchase or gift.

Most libraries depend on the Center for Research Libraries for foreign dissertations, with the exceptions stated above.

The Business Administration, Clements and Law Libraries and the Michigan Historical Collections acquire dissertations as follows:

The Business Administration Library maintains a complete collection of U. M. Ph. D. dissertations in business administration, and collects others very selectively or on request.

The Clements Library acquires no dissertations.

The Law Library maintains a collection of U. M. dissertations written for advanced law degrees. It also holds a collection of pre-World War II legal dissertations from selected European universities. The Law Library collects no other dissertations with the exception of the infrequent purchase of foreign dissertations where the particular dissertation is the only known writing on a very important subject in a major country.

The Michigan Historical Collections maintains a collection of dissertations on Michigan and The University of Michigan with emphasis on history, local history, and biography, and excluding materials in the social sciences, other than history, and in the sciences (with the exception of a group of U. M. Medical School dissertations, 1851-1878, held in its manuscript collection).

Dissertations from other institutions are more important for some U. M. departments and schools and for some subjects than for others. This variation is reflected in the selection policy of each library. All U. M. dissertations are retained for archival purposes.

Frederick H. Wagman
Frederick H. Wagman
Director

*This page replaces SC - CD35 - Page 3, dated April 8, 1976.

Return with documentation to:

Association of Research Libraries
Office of University Library Management Studies
1527 New Hampshire Avenue, N.W.
Washington, D.C. 20036
Phone: (202) 232-8656

COLLECTION ANALYSIS PROJECT SURVEY
4/77

BOSTON

II. Collection Development Philosophy/Policy

Please forward to the OMS any statements of philosophy of collection development and/or any existing collection development policies. These might include policies for operational use in building collections as well as statements intended to describe collections policy to users.

If no written statement currently exists, please describe briefly the current collection development emphasis at your library (e.g. buying on basis of probable future use; buying to maintain existing research collection strengths; buying to support current university curriculum and research; etc.)

Over the last few months, the Acquisitions Department has talked about little else but collection development policies. Despite that conversation, we have as yet no formal written statements bur should have written policies within a month or so. To use the ALA terms for designating collecting insensity, we have at present primarily study level collections with some research level collections in most subject areas for which there is an academic program at Boston University. We are trying to maintain our research level strength in fields for which our holdings are already strong. Our first obligation, however, is to support current university curriculum and research. We are not able to do much by way of upgrading weak collections. The collection development emphasis very much varies according to subject with perhaps a tendency to support graduate and faculty needs over undergraduate needs evident in most subject collecting.

NORTHWESTERN UNIVERSITY LIBRARY
Evanston, Illinois

NORTHWESTERN UNIVERSITY

AN ACQUISITION POLICY
FOR
THE NORTHWESTERN UNIVERSITY LIBRARY
EVANSTON CAMPUS

Prepared by:
Dr. Richard L. Press
Assistant University Librarian
for Collection Development

Revised Edition
January, 1972

An Acquisition Policy for the Northwestern University Library--Evanston Campus.

I. PRINCIPLES AND GUIDELINES

An acquisition policy per se is a planning document which sets out the general principles and guidelines for collection development and states the budgetary implications of such an acquisition policy. The usefulness of this acquisition policy is not limited to being an internal document but it is also an imperative in the overall planning of the allocation of the total resources available to Northwestern University. Wise allocation of scarce resources means that the University Library must play an active and influential role in planning especially in the areas of curriculum and budget. The University Library is too important to the educational program and too costly as a budgetary fact to be an afterthought in any future planning.

This acquisition policy is a general guide to the building of the collections at Northwestern University--Evanston Campus. It is not an exhaustive inventory even though Part II is an attempt at putting into concrete terms the guidelines and principles of Part I. A much greater wealth of detail concerning particular collections is available from the curators, bibliographers, branch librarians and heads of departments. This document must be revised periodically in order to reflect the changing requirements of the University community and the University Library.

The cost of implementing this acquisition policy is 1.2 million dollars a year with an annual increase of 15 per cent to take care of the increase in publishing of pertinent publications and inflation. This level of funding for collection development does not provide for redressing the neglect of the past nor for the support of new educational activities, new programs, new interdisciplinary centers, new faculty, new courses, significant redirection of existing programs and new grants, i.e. any new activity which will have a calculable impact on the size and scope of existing collections and the funding of new collections requires planning with the Library in order to determine the necessary new costs so that additions can be made to the operating budget in the form of seed money and recurring funding. The rationale for the above has been developed by comparative data and recommendations which are in Appendix I.

The primary responsibility for collection development rests with the University Library. Faculty and students advise on building the collections and specific requests are indeed welcome and to be encouraged. The Library Liaison representative is in contact with the appropriate bibliographer, curator or branch librarian and vice versa to ensure that the Library and its academic community are aware of each other's problems and needs. Senior staff of the Library and other staff members welcome the opportunity to play a very active role within the University particularly in the areas of teaching, research, curriculum and budget where their contribution can enrich the University as a whole by their contribution of a heightened awareness of the central role that the library collections and library services play in the overall educational mission of Northwestern.

To write an acquisition policy requires knowledge of the collections and how they are used by our academic community and beyond. This information is available from the University Library and our academic community. Library Liaison representatives were appointed to work with the bibliographers and other Library personnel in order to facilitate communications between the Library and its immediate academic community. A questionnaire and a supporting packet of materials was circulated to the Library Liaison representatives in hopes of obtaining useful information concerning the adequacy of the collections and their use.

The representatives and the questionnaire were the vehicles decided upon to both facilitate the creation of a channel of communication between the University Library and the faculty and to provide specific information concerning the quality of the present collections, priorities for the future and some ideas of how and by whom the collections are used. The questionnaire was administered by 44 Library Liaison representatives appointed by department chairmen. All of the above was an effort by the Department of Planning, Northwestern University, and the University Library to involve and use the expertise and knowledge of our academic community in helping to write an acquisition policy with planning imperatives.

The information supplied by the questionnaire indicates that the majority of our academic community has little time to devote to collection development or knowledge concerning the collections in the University Library. Actually this is the state of affairs at most universities due to the complexity of the library dimension and more immediate pressures on the academic communities which the university libraries support. The first group of questionnaires were sent to 39 Library Liaison representatives and 2 replies were received by the initial deadline. A second follow-up set of the same questionnaire was sent to 44 Library Liaison representatives and 36 department chairmen which resulted in 18 additional responses. Only 20 of 44 questionnaires were returned. Analysis of the questionnaires from less than half of the teaching departments demonstrates a marked degree of unawareness of the contents of our collections, who uses them, what other resources are available in the Chicago area and the important role of interlibrary loan.

It is the University Library's responsibility to determine how the collections should be planned and developed over time. The University Library is a permanent part of the University's infrastructure supporting the total educational program at Northwestern. Faculty and students in general represent temporary constituencies for specific reasons; a situation which runs counter to planning the development of the collections. Faculty and students however must be consulted and encouraged to supply specific information or recommendations for collection development. No university library can any longer delegate its primary responsibility to another group whose involvement and understanding is much more cursory, fragmentary and rudimentary than that of the library staff. This statement is amply supported by the response and results of our questionnaire. The above situation is dictated to a large degree by the changing nature of the responsibilities of both University Library personnel and our academic community. Our roles have greatly changed. In both instances they are much more complex and all consuming. This division of labor should be recognized as such and adhered to generally with intelligent exchange of information and ideas being always encouraged.

The primary source of information concerning the weakness, adequacy, or strength of the collections is the Collection Development staff of the Library. This group is made up of basically the four bibliographers and the branch librarians who are the liaison personnel with the Library Liaison representatives. Their evaluations of the collections take into account the historical strengths and weaknesses of our collections and the educational program at Northwestern. This assessment of where the collections are and where they should be going is based on the following fundamental principles of collection development.

Library collections especially those in the Humanities and the Social Sciences should build on existing strengths particularly so if the strengths are interdisciplinary and unequalled in quality within the geographical region in which the university is located. Strong collections should be constantly strengthened whether they reflect an immediate academic interest or not. Library support for new courses, new programs, and new faculty must be understood from at least two major planning alternatives.

(1) If there are strong collections and programs in the Chicago area then there is a prima facie planning imperative to start what is new at Northwestern with the understanding and consent of all concerned that the resources in the Chicago area will have to support these programs. A good example to illustrate

the above is the interdisciplinary Center for Medieval Studies, a new program at Northwestern. Over the years the Library has acquired sufficient material in the various disciplines to insure a basic quality for some aspects of Medieval Studies. However, we could never build to strength Medieval Studies at this late date without enormous cost and duplication of resources in the Chicago area. Therefore the Center has agreed in principle to using in-depth and unusual resources available in the Chicago area and not duplicating them in the collections at Northwestern. The Library will be responsible in Medieval Studies for the basic secondary sources and a few primary sources.

(2) The obvious alternative to using heavily the resources in Chicago for new programs, assuming other research libraries will allow us to use their resources at an increasing rate, is a substantial on-going commitment by the University to build to the necessary level of quality the library resources to support what is new in our overall educational program. This either/or proposition directs itself to the reality that there are only finite funds available to the University Library and by extension to the University at large. Adequate planning of the use of scarce resources requires a commitment to as little duplication of collections and programs as possible unless a conscious planning decision has been made which explicitly states that certain new programs, courses and faculty are necessary and special monies will be made available to build quality library resources over a long period of time.

In summary the Library has said that the University should not plan new programs, new courses, or hire new faculty if there isn't additional monies for library resources. If the University still wishes to create new programs and not provide additional funding for library support then it is understood that the University intends for these new programs to acquire the necessary intellectual sustenance from other local research libraries or by lack of adequate funding that these new programs do not need library support and that a meaningful support level from the University Library system is not expected and will not be forthcoming.

II. THE MECHANICS OF ACQUISITION

Generally speaking two types of library materials are purchased:

1. Books, serials, and periodicals currently being published.
2. Out of print books, serials, and periodicals.

The greater part of the book budget is spent on current publications upwards of 80-85%. Good coverage of scholarly materials means less purchasing of out of print materials which are much more costly. How are currently published books acquired? A method used by most major university libraries is the standing order, blanket order, or approval plan. The goal is to receive automatically new books of scholarly value in the social sciences, humanities and sciences and engineering as soon as they are published rather than selecting each individual title-a labor intensive task which results in longer delays in materials arriving in the library. So goes the argument. However, a closer look at reality indicates that the major jobbers even those which specialize in supplying books and periodicals for universities and colleges are slow. They argue that they are prisoners of the anarchic distribution system of the publishing industry.[1]

So indeed they are and so are we. The usual protestations from faculty and students regardless of which university library, is that the library is remiss in not having purchased in the past a particular book or periodical or that it takes far too much time before a new title is available in the library. These complaints relate to the irresponsibility of the academic community, faculty and students alike, who lose, mutilate, steal or do not return on time books and periodicals on the one hand and who on the other hand do not have sufficient motivation or knowledge in using library services to determine whether a new title is in the library or not. Let me give an example of this lack of awareness which is burdensome and wasteful to the academic community and to the Library. Every year more than 5000 book requests are returned to faculty and students because the books are already on order or in the Library. Many of these book requests are marked Rush. It seems unfortunate to the Library to spend $5000 a year (5000 searches at $1.00 a search) of staff time on books which are already in the Library or on order. The Library is working toward establishing standing orders of various kinds with jobbers and publishers to insure relatively automatic receipt of new titles in the Social Sciences, Humanities, Sciences and Engineering as soon as they are published. The procedure already exists for American, English and Canadian university presses, i.e. the Library receives automatically one copy of every new scholarly title in the Social Sciences and Humanities published by a university press. Major goals of the University Library are to achieve a print out of our standing orders to series, publishers, and genres of materials and distribute this list to interested faculty. As soon as the automation of the acquisition process is achieved it will be possible to generate a status report on a book requested by a faculty member or a student as well. This means you will know within a very short time the disposition of your book request. This reporting procedure will be operative for those monographs and serials which are chosen from antiquarian catalogs and not for currently published material covered by one of the standing orders. The other problem that the academic community is usually concerned about is the inordinate amount of time that is required for a title to be received by the Library. The major reason for those books which in fact do come in slowly is the lack of responsiveness and the inability of book suppliers to get materials quickly. The deterioration of the U.S. Mail Service and the increasing rate of dysfunction in communication and transportation within the major metropolitan areas in the U.S. has significantly affected the ability of the Library to acquire materials as soon as possible. However, it must be stated that many complaints are in fact the result of misinformation. The Library seeks to search and place orders as fast as possible given our resources. Delays in receipt of materials relate to books announced and not yet published and the aforementioned problems with the publishing industry and jobbers. The Library constantly searches for new jobbers and new avenues of approach for getting materials as fast as possible.

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[1] For an excellent overview on the mechanics of acquisition see Veaner, Alan B. The Administration of Acquisition and Exchange, a paper presented at the Japan-U.S. Conference on Libraries and Information Science in Higher Education. Tokyo, May 16-19, 1969. This paper is Appendix II.

Books and periodicals are requested on order forms which are obtainable from your Library Liaison representative, the bibliographer for your subject or from the Search Department of the Division of Technical Services. Book order requests can be submitted through any of the above channels.

It is important that faculty and students work through the established machinery, i.e. one of the following three contact people:

1. Library Liaison representative for your department; 2. Collection Development Staff; 3. the Search Department itself. This is necessary to ensure expeditious handling of your book request and also to afford the opportunity to the Library, the faculty member and the student to become more acquainted with each other's needs, problems and satisfactions as regards the book collections.

In summary the mechanics of acquisition are: 1. The Library through its various standing order programs seeks to purchase all new scholarly materials relevant to our programs. 2. Out of print materials in the Social Sciences and Humanities are ordered primarily on the initiative of the bibliographers, curators, and faculty. Retrospective buying for the Sciences and Engineering is usually limited to journals. The Sciences and Engineering are more interested in current materials and require much less historical material than the Social Sciences and Humanities. 3. The Library personnel directly involved in building the collections are as follows:

1. Dr. Richard Press: Assistant University Librarian for Collection Development.

2. Mr. Robert Baumgartner: Documents Librarian

3. Ms. Leslie Bjorncrantz: Curriculum Laboratory Librarian

4. Ms. Elizabeth Butler: Core Librarian

5. Ms. Elizabeth Furlong: Head, Search Department

6. Ms. Dorothy Gray: Head, Reference and Bibliography Department

7. Mr. Ben Jacobson: Assistant University Librarian for Branch Libraries

8. Mr. Robert Koester: Bibliographer, Melville J. Herskovits Library of African Studies

9. Mr. Thomas Mann: Acting Social Sciences Bibliographer; as of February 1, 1972, the Social Sciences Bibliographer will be Mr. William Jones.

10. Mr. Thomas Mann: Slavic Bibliographer

11. Ms. Lynne Masters: Acting Tech Librarian

12. Mr. Russell Maylone: Curator of Special Collections

13. Ms. Ellen Miskall: Serials Librarian

14. Mr. Richard Olson: Humanities Bibliographer

15. Mr. Hans Panofsky: Curator of the Melville J. Herskovits Library of African Studies

16. Mr. Donald Roberts: Music Librarian

17. Ms. Mary Roy: Transportation Center Librarian

18. Ms. Ruth Spiecker: Science Librarian

19. Mr. Vladimir Zernov: Head, Acquisitions Department

In addition to the above Library personnel each teaching department has a Library Liaison representative whose major responsibility is to communicate to the appropriate Library personnel the needs and problems of the department vis-a-vis the development of the book collections.

III. COLLECTION DEVELOPMENT PRIORITIES--NORTHWESTERN UNIVERSITY LIBRARY

There are three basic priorities in building the collections in this University Library as well as at most major university libraries.

The first priority in selection and expenditure of book funds is for library materials needed for the day to day preparation and supplementation of the curriculum. For both undergraduate and graduate courses it is obviously necessary that the Library have the basic quality in the standard, classic and current literature in those academic fields listed in the University Bulletin together with a reasonably complete coverage of the journal literature. Thus the first priority must be assigned to the instructional needs of Northwestern.

The second priority is given to the strengthening of the general bibliographical and reference collections because it is these collections that support student and faculty needs beyond the curricular requirements. Actually the sense of the term curricular requirements has noticeably changed because of more sophisticated students, better teaching and more independent study. There is no discernible dividing line between priority one and two today. They are parts of a continuum labeled a university education. Priorities one and two provide the minimal library support for a university curriculum.

The third priority in collection development at Northwestern is building to distinction a select number of collections. This category of collections defines what a university is versus what a college library is. Collections of distinction are a logical and vital part of any university educational program. These collections provide the means for significant teaching and research within our own academic community and provide our contribution to the national network of research libraries of which this university library is an integral part.

These three priorities can be correlated to five levels of collecting. Levels A,B,C equate to priorities one and two and levels D and E equate to priority three.

The following five levels of completeness may be used as a basis for faculty and library staff evaluation of existing university collections, and as a guide to acquisitions[1]:

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[1] Tauber, Maurice F. "The faculty and the development of library collections," _Journal of Higher Education_, 32:454-8, November, 1961, pp. 454-5.

A. A basic information collection, appropriate in the subject which falls outside the scope of present instruction, yet within which readers may need minimum library service to aid their understanding of material properly within the scope of their studies;

B. A working collection, which is a collection adequate to convey existing knowledge of the subject in broad outline, including its main historical aspects, and thus sufficient for the needs of undergraduate courses;

C. A general research collection, which is adequate for the needs of graduate students in the subject, since it includes the major portion of the materials required for dissertations and other independent research;

D. A comprehensive collection, which embraces all the materials of the general research collection, plus a wider collection of books and periodicals having value for current research, and additional works for historical research in the subject, in all pertinent languages, though not necessarily in all editions, or in translation, with inclusion of considerable documentary and original source material.

E. An exhaustive collection, which endeavors, so far as is reasonably possible, to include everything written on the subject, in all languages, of all time, in all editions and translations.

In the final analysis there is no clear demarcation line at a major university separating priority three from priority one (instructional needs) and priority two (reference and bibliographical support). In terms of the book budget, priorities one and two account for 85-90% of total expenditures.

IV. GUIDELINES AND INFORMATION ABOUT THE GENERAL DIRECTION OF COLLECTION DEVELOPMENT AT NORTHWESTERN UNIVERSITY LIBRARIES--EVANSTON CAMPUS

Detailed information about the collections is available from the Library personnel listed on page 9 and in Part II of this document.

A. Engineering and the Sciences. Northwestern has a tradition of excellence in the fields of engineering and science. The collections until recently were just about able to support these programs. However, new programs, including the dramatic shift to interdisciplinary orientations, redirection of existing programs, a successful and ever expanding SDI service, a new and broad interest in the History of Science and Technology and inflation have greatly compromised the ability of the Tech Library and the Science Libraries to perform adequately their mission.

The acquisition policy for engineering and science consists of providing all the books, journals, technical reports etc. which are needed to support the curriculum and the research needs of the graduate programs and the faculty. In essence this is what has been referred to earlier as collection development priorities one and two. Priority three i.e. collections of distinction are mainly historical in nature and this priority has almost no application to engineering and the sciences with the possible exception of the History of Science and Technology.

B. Area Study programs and/or Language and Literature programs at Northwestern as Reflected in the Actual Collections in the NU Library. There is one major interdisciplinary area study program at Northwestern and hence one major area study collection, i.e. the Program of African Studies and the Melville J. Herskovits Library of African Studies. This collection has a staff including a curator, bibliographer, cataloger and documents librarian.

Unless a very large amount of funding is available the University Library will not embark on building in-depth resources especially in vernacular languages for any other area study program.

C. Language and Literature Programs Outside of Those Traditional to Northwestern.

1. The Department of Slavic Languages and Literatures has both undergraduate and graduate degree programs in Russian and there is interest and a course or two in other Slavic languages. History and Linguistics also use Slavic materials primarily Russian. There was never allotted sufficient funds to build the necessary Slavic collections to support our degree granting programs in this area. There has to be a large infusion of funds for Slavica if our Slavica educational programs are to amount to anything. This is an example of a new degree granting program approved by the University without adequate library resources or funding for future development of needed resources. At present the support staff within the Library for the Slavic collections consists of a lib-

liographer, a cataloger and the equivalent of a half time position in the acquisition department. Emphasis in collecting centers around 19th and 20th Century Russian literature with a small but special interest in 18th Century Russian literature. It is also necessary to collect Russian language titles in the social sciences, humanities and sciences albeit on a very selective basis. Cooperation and coordination with the University of Chicago is necessary and helpful given their great Slavic Collections.

The Slavic collections serve both language and literature faculty and subject specialists. In the Slavic department they are one and the same but in the History Department for example the faculty are basically subject specialists whose research needs for Slavic language materials must be satisfied. The same is true in the social sciences and humanities in general. All major university libraries recognize Russian as one of the basic accessible languages and consider the acquisition of Russian language materials as essential for adequate coverage of any subject. Northwestern University Library endorses this policy in order to aid in the attainment of a high quality research collection in the humanities and the social sciences.

In the other Slavic languages a carefully selected basic survey collection is adequate. Thorough in-depth collecting is best left to other university libraries which have both a long history in such collecting and an active program of training in these languages.

2. East Asian Languages, Literature, and History. Northwestern University Library has 25,000 volumes in both the Chinese and Japanese languages. This is a modest collection for East Asian Studies when compared with the collections of the University of Chicago and the University of Michigan. The major emphasis in these vernacular language collections is modern Chinese and Japanese History. There are no graduate degrees awarded in East Asian languages nor any courses which are presently designed to use vernacular materials. The collections are

important for the faculty engaged in teaching and research on East Asia. The acquisition program is a minimal one of mainly responding to the selective needs of our faculty.

Given the importance of East Asia it might be desirable to have a more active acquisition program in vernacular materials but this is impossible without much stronger commitments from the University. It is also necessary to acknowledge the great collections around us and act accordingly. Support staff consists of a cataloger and some clerical assistance.

3. Latin America. The University Library has a long tradition of sporadic buying of Latin American vernacular language materials. However, the situation is similar to that of the East Asian collections at Northwestern. The acquisition policy is to buy very selectively vernacular language materials with no effort to be comprehensive in one discipline or a country. Again it is necessary to point out that there are great strengths in the Chicago area which is a strong imperative to avoid duplication of effort given our scarcity of resources. The collections on Latin America are relatively large but sporadically developed. Therefore most acquisitions are restricted to specific requests of interested faculty and students.

4. Indian sub-continent. There is no purchasing of vernacular materials on India. There is selective buying of individual monographs mostly at the request of interested faculty.

5. The Middle East. There is no area study program or language and literature programs at Northwestern University focused on the Middle East. Vernacular language material, i.e. Arabic, Hebrew, Persian, Turkish is not purchased and will not be purchased except in an extraordinary circumstance. The University of Chicago has one of the most distinguished collections in the world on both the Ancient and Modern Middle East with extensive course offerings in the curriculum. Northwestern University Library will make no effort to

duplicate these fields of study and their resources which are so magnificently represented at the University of Chicago.

In summary Third World Area Study Programs and Third World language and literature programs are very expensive in terms of vernacular language collections and specialized library staff. Pertinent scholarly publications in English and standard European languages are purchased as a matter of course, i.e. to support University educational programs at priority one and two. Given the University's lack of expanding resources it is necessary to have our one Area Study program, i.e. the Program of African Studies and the Melville J. Herskovits Library of African Studies as strong as possible without dilution from lack of awareness of what these other programs would cost.

D. Government Documents. Northwestern University Library has been a selective depository for U.S. Federal Documents since the 1870's, taking about 90-95% of the material available to depository libraries. The Documents Collection also has state and local documents particularly from Illinois. The collection is rich in international documents notably League of Nations Documents and United Nations Documents. There are also official documents from other countries particularly Great Britain. The purchase of the Irish University Press reprint of the 19th Century British Parliamentary Papers, which are cataloged and housed in the Reference Department, has received much use and brings further strength to a distinguished documents collection. The acquisition policy includes purchasing official documents, national and international, basically non-depository American documents and official documents of international agencies not already received. Official documents provide a great wealth and variety of information and we will continue to build to distinction this existing and important strength.

E. Reference and Bibliography. This category of materials has been referred to earlier as priority two. The Library purchases as comprehensively as possible reference works and bibliographies.

F. Core. The Core Collection is a unique modification of the traditional undergraduate library. It is a duplicate non-circulating collection of 50,000 volumes-not only the basic books for the undergraduate in a university setting, but significant volumes always available for faculty and graduate student use as well. This highly selective group of books is chosen to be immediately accessible to all members of the University community. The Core Collection holds about 29,000 volumes at present and another 21,000 remain to be purchased. When 50,000 volumes are reached the collection will be constantly weeded to insure that it does not exceed the original concept in terms of numbers of volumes and their relevance. Hence there will always be an active selective retirement program in favor of other more pertinent titles.

G. Curriculum Laboratory Collection. By purchase or gift the Curriculum Laboratory maintains a comprehensive collection of curriculum guides, courses of study and textbooks developed for primary and secondary teaching. There is also a very selective collection of children's literature. The latter is not an historical collection but rather one which seeks to provide a good representation of current publishing for children. The Curriculum Laboratory Librarian works closely with the School of Education.

H. Maps. The Library purchases all important atlases and is a depository for U.S. Geological Survey Maps, U.S. Army Topographic Command and nautical and aeronautical charts distributed by the U.S. Coast and Geodetic Survey. The Library also purchases many foreign sheet maps. Very little historical cartography is purchased as the Newberry Library has a center devoted to this subject. The only historical maps purchased are those relating to Africa.

I. Comparative Religions. There is reciprocity of use of libraries between the Northwestern University community and Garrett and Seabury-Western Seminaries. There is also an unwritten acquisition policy of cooperation which for specialized resources in religion gives the seminaries the responsibility for purchasing the above materials on Christianity and the Northwestern University Library the responsibility for the history of religions and non-Christian religions. Stated differently and very broadly Northwestern University Library has the responsibility for the historical, social, political, aesthetic, comparative and ethical aspects of religion while the seminaries are responsible for doctrine, discipline, liturgy, pastoral care etc. particularly for Christianity. Except for religion in Africa, our acquisition policy for both non-Christian and non-Western religions is selective with very little buying of vernacular language material. In essence the seminaries are relieved of certain categories of purchasing which nevertheless they may have call for and the same holds true for the Northwestern University Library.

J. The Black Experience in the New World. Northwestern University Library has because of its interest in Africana collected in a selective manner materials by and about Afro-Americans. This interest concentrates on the Black experience in America with some attention given to the Caribbean. The materials for this interdisciplinary field of study are housed with the main collections. The Library's strength in Africana presents this Library with the natural directive to acquire comprehensively materials on the Black Experience in the New World particularly North America. It is recommended that the University Library collect comprehensively in this interdisciplinary field of study because of the existing strengths adjunct to it plus its natural place in a major university library.

K. Poetry--Books and Records. The Poetry Collection is a duplicate non-circulating collection of 5000 volumes of poetry the emphasis being on modern American and British but also providing titles of great poetry throughout time and also poetry in translation. This collection has an upper limit to size but it is constantly being renewed in the same manner as Core. The Poetry Collection is at 50% of capacity. Phonograph records are also a part of the collection

Poetry, drama and contemporary non-classical forms of music make up the selection of records.

L. Reserve Book Room. In keeping with the educational program of the new University Library, Core will absorb some of the activity of the Reserve Book Room. Hopefully this collection can be reduced to an essential minimum size. This is the goal envisioned by the planners of the new library and it is reflected in a more selective acquisition program for Reserve.

M. Microforms and Reprints. The publishing industry, through the technology of microforms and reprints makes available needed materials which because of format have been difficult to maintain and house on the one hand and on the other they make available material that the Library could not purchase in the past. The purchase of microforms and reprints continues to play an ever increasing role in the qualitative growth of the collections.

N. Duplication. Every effort will be made to keep duplication on the Evanston campus and between the Evanston campus and the Chicago campus to a minimum. Historically most duplication is the result of physically separate libraries acquiring the same material so as not to inconvenience our user community. Given our financial problems this wasteful practice is more inconvenient to the total library program than is the walking to another branch library on the Evanston campus or borrowing material through interlibrary loan from the Chicago campus. It is both sound management and convenient to the total user community to avoid duplication which is based solely on the geography of our own University Library system.

Another dimension to the question of duplication involves inter university and regional library cooperation of one kind or another. University Libraries duplicate each other's collections to a marked degree. For priorities one and two this is inevitable. However for new programs and building comprehensive or exhaustive collections there must be regional cooperation to avoid duplication of effort so as to ensure the wise use of resources. Cooperation in one form or another is being experimented with all over the United States including Chicago. The years to come may bring meaningful cooperative programs which will help in defining our curriculum and its support by the University Library.

It is possible at present to initiate a modest effort at cooperation. Cooperation in building collections and using other collections in the Chicago area requires a daily shuttle service between Northwestern University Library--Evanston campus, our Chicago campus and the other research libraries in Chicago. This shuttle service is operational and transports materials on a scheduled basis making readily available in a most convenient manner the library resources of all of Northwestern's libraries as well as the other research libraries in the Chicago area. This service carries with it the planning imperative that at least between the Evanston and Chicago campus, duplication of materials will be reduced to a minimum and at most it will encourage meaningful cooperation with other research libraries in Chicago which can help in planning and building our collections in as efficacious a manner as possible. This shuttle service should obviate any necessity to duplicate specialized resources in the collections of the downtown campus. This service will also be important for our Graduate School of Management Library and the Schaffner Library as long as there is an MBA program in Chicago.

O. Replacement Costs. Replacements due to missing, lost, stolen, mutilated, deteriorated and disintegrated books and periodicals cost about $7000 a year. This figure only represents the actual cost of materials and not the overhead costs incurred. This figure will rise as the staff has more time to professionally monitor the collections which is now becoming possible due to the labor saving on repetitive circulation tasks which have been automated. Concomitant with replacements are the filling in of missing volumes and monographs of periodicals and series which were not purchased due to budget stringencies of the past. The higher levels of awareness and monitoring will increase the number of pertinent replacements and filling in gaps to around $20,000 a year.

P. Institutes, Schools, Centers and Departments. The undergraduate, graduate and research programs of the above are supported on a priority one and two basis. The exception to this policy, which means that adequate support will not be forthcoming, is directed to new institutes, schools, centers and departments and new directions of existing programs for which there has not been provided additional funds for developing library resources.

Q. New Programs and Redirection of Existing Programs. The purpose of this acquisition policy is to avoid the lack of planning that is evident between the University and the University Library in such new interdisciplinary interests as Urban Studies, the History of Science and Technology, and the Afro-American Studies Department. These programs are in existence funded by new sizable outside grants with no provision for library support. Special funds must be provided if the University Library is to support these programs.

V. GENERAL INFORMATION CONCERNING THE COLLECTIONS OF DISTINCTION.

Collections to be reviewed for purposes of this acquisition policy are those which can be called collections of distinction, i.e. those collections whose strengths of resources go far beyond the basic quality necessary to support any particular part of the University's educational program.

Collections of distinction are necessarily limited in number because of the scarcity of research materials and the tremendous costs in systematically assembling these collections and maintaining their quality over long periods of time. For these collections are comprehensive or exhaustive in scope and require the purchase of retrospective library resources as well as the pertinent new literature.

The distinguished collections which are here will be constantly enriched because of the sensible policy of building strength on strength. The exception to this policy occurs if and when Northwestern in concert with its University Library decides on offering new programs, new courses, etc. and building them to distinction by providing adequate funding for quality library resources.

Collections of distinction come in different forms at Northwestern. Some are interdisciplinary in scope while others are specific as for example, collecting comprehensively an individual author.

A. Collections of Distinction--Interdisciplinary and Branch Library Collections.

1. The Melville J. Herskovits Library of African Studies is one of the most distinguished collections of its kind in the United States and perhaps in the world. It is a comprehensive interdisciplinary collection of materials on Africa of world renown and an indispensable part of the Program of African Studies at Northwestern University. Knowledge of the holdings of the collection is available through a printed catalog presently being revised as a second edition. This is the Library's most important collection of distinction requiring a high level of support to ensure that its excellence is maintained indefinitely. It is our number one priority as a collection of distinction.

2. Transportation Center Library. The Transportation Center Library is the most distinguished interdisciplinary collection on transportation in the United States excluding governmental agency libraries. This library also collects and makes available foreign publications on transportation. It is an important publisher of bibliographical tools and is within the Northwestern University Library system the one unit that is organized and staffed to give comprehensive reference and research service concerning the literature of transportation much like a corporation library for its parent company. Increasingly it services the informational needs of our total academic community plus nation-wide contracts and contacts for information services dealing with transportation. This great

collection must receive a high level of support to ensure that its excellence is maintained. This commitment is absolutely crucial particularly now that the Transportation Center Library is administratively and soon to be physically a part of the general University Library system. This is our number one priority as a special library giving in-depth access to its excellent resources.

3. The Music Library. Northwestern University has one of the largest music schools in America. This Music School with the backing of the University is striving to be one of high quality as well. The achievement of high quality is in good measure dependent on an outstanding music library.

Historically the collections in the Music Library have been sub-standard at best. In the past three years modest efforts have been made to rectify this situation. The acquisition of current and retrospective materials has increased coupled with some extraordinary additions to the collections.

The collections of Fritz Reiner and Boris Goldovsky will become distinguished additions to the Music Library. The Music School has always been strong in the study and performance of 19th and 20th Century music. The on-going acquisition of the Moldenhauer Archive, certainly one of possibly two of the most important manuscript collections of modern music in existence, adds unparalleled strength and depth to a major educational thrust of our Music School. This emphasis on building to distinction the manuscript and printed sources for the study, performance and publishing of modern music coincides with the historical strengths within the University Library's collections on the art, literary and political movements of the 19th and 20th Centuries.

The potential for a great music library is present and this acquisition policy reflects the recognition by the University, the Music School and the University to develop the collections of the Music Library to high distinction.

4. Art, literature, and politics of the 19th and 20th Centuries with particular emphasis on the second half of the 19th Century and 20th Century--Europe and America. Many university and independent research libraries have

over-all explicit or implicit orientations towards the collecting, maintaining, and disseminating the cultural heritage of past centuries. Some libraries specialize in the Middle Ages, others in the Renaissance or Reformation. In other terms many of our peers have collected with conviction and purpose recorded knowledge, concerning the Ancient World up to and through the 18th Century. The Northwestern University Library has put its energies and modest sums into the recorded knowledge, basically printed primary and secondary sources, concerning the major movements of social change during the watershed period Post-Napoleon to the present. These movements are in all fields including music and the emphasis has been an interdisciplinary one. In a word, the Library has collected the "isms" politically speaking from Anarchism to Zionism, in terms of art from Dadaism to Surrealism, in terms of literature and philosophy from Existentialism to Symbolism. It must be emphasized that our goal is to build to distinction this category of materials, and the Library has a good start but is far from comprehensiveness in any of these specialized areas.

Some examples of organizing themes around which library materials are bought are:

A. Art and Literature

1. German Expressionism
2. Bauhaus movement--modern architecture
3. Art Nouveau--Jugendstil
4. Futurism
5. Dadaism
6. Surrealism
7. Symbolism
8. Concrete poetry
9. Little Magazines--i.e. art and literary magazines mainly avant-garde with limited circulation and short lives--European and American including the American and European underground press (see printed brochure for holdings).
10. Major American, British, Irish, and Scottish authors (modern Scottish Renaissance notably C.M. Grieve, i.e. Hugh McDiarmid) of the 19th and 20th Centuries.
11. Major French and German authors of the 19th and 20th Centuries
12. Dutch underground graphic art movement as defined by the DeJong bibliography

B. Philosophy

1. Existentialism and Phenomenology
2. Soren Aabye Kierkegaard--the collection of printed works by this author is the best in the United States

C. Radical movements of the 19th and 20th Centuries

1. Anarchism
2. French Utopians
3. Socialism
4. Communism
5. Nazism
6. Fascism
7. Feminism
8. Zionism

D. Major social upheavals of the 19th and 20th Centuries

1. French Revolution
2. Revolutions of 1830, 1848, Siege of Paris 1870, Paris Commune of 1971
3. Provo Movement
4. May-June Revolution 1968--France
5. Spanish Civil War
6. European underground resistance movements, notably Scandinavian, during the Nazi occupation of Europe.

E. Individual Author Collections. Some are represented in A4 as well. The following list is indicative and not exhaustive.

1. Guilliaume Apollinaire
2. W.H. Auden
3. Jacob Boehm
4. Andre Breton
5. Lawrence Durrell
6. T.S. Eliot
7. Paul Eluard
8. William Faulkner
9. Johann Gottlieb Fichte
10. Robert Graves
11. C.M. Grieve (Hugh McDiarmid)
12. Nicolai Frederick Severin Grundtvig
13. Ernest Hemingway
14. Horace
15. Jules Janin
16. James Joyce
17. Immanuel Kant
18. Soren Aabye Kierkegaard
19. D.H. Lawrence
20. Filippo Tommasso Marinetti
21. Ezra Pound
22. Franklin Roosevelt
23. Stephen Spender
24. Herwath Walden
25. H.G. Wells
26. Woodrow Wilson

27. Frank Lloyd Wright
28. Willaim Butler Yeats

5. Manuscript Purchases. The Northwestern University Library has some manuscript collections and personal archives of distinction. As a general policy manuscript material will be purchased in only two areas: Africana and Music. Before an Archive or even a single manuscript is purchased there is much consultation within the Library and in our academic community because manuscript material is quite expensive and some of it has no merit. On occasion a letter or document will be purchased to add to collections of manuscripts such as the Dawes papers, Baker Brownell papers and the collection of Jules Janin letters. A general guideline used by the University Library is that manuscripts to be purchased must have research and teaching value rather than being solely the holographic or typescript form of published material.

6. Taschenbucher (Literary Almanacs). Northwestern University has a distinguished collection which will be augumented as the occasion and money permits.

In summary this acquisition policy is a framework for Collection Development at the Northwestern University Library. It is a working document and by its very nature it always will be. For inherent in such a policy is the direct charge to the Library staff and to our academic community to examine and scrutinize it and suggest revisions in keeping with important changing realities which must be reflected in the collections.

THE UNIVERSITY OF TEXAS AT AUSTIN
THE GENERAL LIBRARIES

UNIVERSITY OF TEXAS

COLLECTION DEVELOPMENT POLICY

November 1976

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GENERAL INTRODUCTION

Purpose: The Collection Development Policy of the University of Texas at Austin is a written guide relating the Library's collecting policy to specific University teaching and research needs as revealed in the curricula and in faculty and student interests. It is intended to coordinate collection development throughout the General Libraries.

The Policy identifies in detail the subjects of collecting interest and attempts to quantify the collecting levels that support these subjects. It has been made specific enough to guide daily book selection, to help frame parameters of blanket order arrangements, and to assist in gift acceptance. It also provides guidance in duplication and location of materials.

The Policy reflects as much faculty interest and input as possible so that library bibliographers can act as agents for and partners with the faculty in developing the Library's collections. While the faculty and academic departments are responsible for developing the academic programs which the Library supports, it is the Library's responsibility to meet the information needs of the University Community. This is accomplished by recurring review of present holdings and identification of relative strengths and weaknesses in the collection. The Policy is subject to revision by the Collection Development Committee as University needs and objectives change.

Procedure: In October 1972 a Collection Development Committee was established to formulate a general policy that would serve as a guide to the acquisition of library materials for the General Libraries. The Committee, made up of six librarians, was appointed to serve as coordinator for the development of the Policy. The Policy was constructed of statements composed by library bibliographers with the consultation of faculty members. After the statements were prepared and revised, a series of panel meetings was held in which members of the Committee and a number of faculty members participated. Particular emphasis was placed on the approach being used to develop the Policy and on the format and viability of the subject statements. These Panels were Humanities and Fine Arts I and II, Social and Behavioral Sciences I and II, Science and Technology, Geographical and Vernacular Collections, Undergraduate Library, and Special Collections. The consensus of these panel meetings was that the general format was usable and that the project should continue.

The step following was to circulate subject statements among the general faculty, getting comment as broad as possible on the particulars of each statement. The most common questions about the statements had to do with the aptness of the subject subdivisions and with the suggested levels of collecting. After faculty members made suggestions on the statements, the statements were revised and the final Policy document assembled and indexed. The document has been accepted by the University Library Committee.

The individual statements are of two types: those dealing with subjects (closely related to academic departments) as collected in the Main Library and the branch libraries; and those dealing with such units as the Undergraduate Library, the area and vernacular collections (Latin American, Texas, Asian, and Middle East).

Each statement includes: (1) a statement of purpose which enumerates both academic programs in the subject and known areas of interest in the subject outside the academic department primarily concerned; (2) a statement of general collecting guidelines which defines such considerations as languages, chronological and geographical emphases or restrictions, treatment of subject, types of materials, and dates of publication; and (3) the observations and qualifications by subject subdivisions which assign collecting levels.

The approach of the Policy has been basically by subject, rather than by academic department. While many of the subjects for which statements appear are the chief concern of one particular department, policy statements are also provided for some subjects in which the University offers no specific program of concentration (e.g., religion). The subject approach sometimes means that not all the topics of concern to a particular department will be found in one subject statement. The intent has been to treat each topic in one place only and to provide cross-referenc where needed.

General Collection Principles:

Emphasis is on current acquisitions since it is wiser to obtain books and journals at current prices when they are readily available. Search procedures in the out-of-print market are expensive, and only about 40 per cent of such searches locate the needed material. In addition, the price of located out-of-print material is often dramatically escalated.

Emphasis is generally on the text, not on the edition or format. Although an original edition may occasionally be required, commercial reprints, xerographic copies, and microforms are usually just as satisfactory and less expensive. Since these forms can often be obtained relatively inexpensively from a commercial agent, it is better to seek a commercial copy first rather than to produce locally, at high cost, copies from a book or journal in hand.

When theses or dissertations are purchased, microforms will generally be preferred over xerox copies except when intensive use, such as a class reading assignment, is anticipated. Periodical backfiles in microform will be given preference over reprints in hard copy, although short gaps in a set or serial may be filled better by the hard copy.

Collecting Levels:

A. Minimal level: Indicates that only highly selective purchases, usually materials either for reference use, general interest, or for the support of very specific research needs, will be made.

B. Undergraduate level: Indicates that standard works and selected current works, mostly in the English language, will be acquired to support undergraduate instruction. This will include reference works presenting a survey of the current knowledge of the subject in broad outline, as well as files of basic journals. Retrospective purchasing is usually restricted to standard works.

C. Research level: Indicates that the Library will acquire as broadly as possible the significant current primary and secondary sources relevant to advanced research in the field (subject to the restrictions specified in the subject statement, e.g. language). Allows for selective programs of retrospective purchasing.

D. Comprehensive level: Indicates that all currently-published relevant material will be acquired (subject to the restrictions specified in the subject statement). Allows for extensive programs of retrospective purchasing and searching for lacunae.

E. Exhaustive level: Indicates that the Library will attempt to acquire all relevant published material in most editions and translations; manuscripts and other supporting non-book materials are acquired extensively as the budget permits. This is the level appropriate for the creation or maintenance of a special collection.

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The Collection Development Committee, 1976 gratefully acknowledges the contributions of all those who have participated in the compilation of this document. Because many of the statements comprising the Policy appear here virtually unchanged after several years from the time they were drafted, the Committee, in issuing the Policy in its present form, is aware of the presence of inevitable shortcomings which could not be remedied at this time, but which must wait upon subsequent revision for their correction. The Committee welcomes your comments on the Policy and solicits your suggestions for its improvement.

Collection Development Committee, 1976

Gerald Bishop, Chairman
Michael Albin
Wanda Allen
Nancy Phillips
Martin Smith

For assistance in interpretation of the Policy, please contact the library bibliographer in your subject field or Carolyn Bucknall, Assistant Director for Collection Development.

BENSON LATIN AMERICAN COLLECTION

Purpose: To support the courses of study offered and anticipated by the University at the undergraduate, graduate, and post-graduate levels in the area of Latin American Studies and in support of the programs of the Latin American Institute; to provide resource materials needed for pursuit of independent scholarly investigations; to provide information for the general public. As a special collection, therefore, the Latin American Collection will collect exhaustively as possible all library materials which relate to Latin American or which are written by Latin American authors. Collection levels are noted in the section on observations and qualifications by subject subdivision.

General Collection Guidelines:

a. Languages: All languages, including Indian dialects of Latin America will be included. Translations into any language of works written by a Latin American or about Latin America will be acquired.

b. Chronological Guidelines: None

c. Geographical Guidelines: Materials published anywhere in the world pertaining to Latin America, which includes all countries and areas of the Western Hemisphere from Mexico to Tierra del Fuego and all Caribbean islands; materials on states of the United States during the period they were a part of the Spanish Empire or Mexico. A list of Latin American countries and the major Caribbean islands is appended to these general guidelines.

For materials on Spanish-speaking segments of the U.S. population, see the Mexican-American Library Project statement.

d. Treatment of Subject: All materials dealing with Latin America under any aspect or at any level will be acquired.

e. Types of Materials:

1. monographs and serials
2. archives, manuscripts, and broadsides
3. atlases and maps: include flat and relief maps, exclude globes unless acquired as unsolicited gifts
4. audiorecords; include discs and tapes of music--popular, folk, and classical--literary adaptations, interviews, proceedings of conferences, meetings and seminars, lectures; exclude language excercises
5. children's publications
6. government documents
7. filmstrips and motion pictures on adult level only
8. pictures and ephemera: include drawings, photographs, art prints, and posters; exclude art originals, post cards, newspaper clippings unless acquired as parts of larger collections or as unsolicted gifts

9. microforms; include microfilm and microfiche
10. typescripts and mimeographed works
11. newspapers; include official and commercial
12. pamphlets; treat as books
13. slides and transparencies; include if unavailable in printed format
14. musical scores; include those relevant to ethnomusicology and folklore studies
15. telephone directories
16. theses and dissertations; as originals, reprints, or microforms.

f. Date of Publications: Both current and retrospective works will be acquired. Microform or xerox reproductions will be purchased when the originals or reprints are unavailable. All editions of reprints will be acquired even though the Library has the original.

g. Other General Considerations: Materials will be acquired through purchase, gift, or exchange, which ever means is available or necessary. Latin American materials are frequently duplicated because of difficulty of acquisition, though not usually in more than two copies.

Observations and Qualifications by Subject Subdivision:

All materials deemed necessary for the support of the programs in Latin American Studies and of the Latin American Institute in any and all subject areas and subject sub-divisions will be collected to the exhaustive level with the following exceptions noted:

	Collecting Level
Agriculture:	D
Astronomy:	C
Chemistry:	C
Home Economics:	C
Law:	D
Marine Sciences: includes maps	C
Mathematics:	C
Medicine: includes Pharmacy and Nursing	C
Meteorology: includes Climatology; maps	C
Microbiology:	C
Physics:	C
Zoology:	C

LATIN AMERICA includes these geographical antities:

Antigua (Leeward Islands)
Argentina
Aruba (Lesser Antilles)
Bahama Islands (West Indies)
Barbados (Lesser Antilles)
Barbuda (Leeward Islands)
Bolivia
Bonaire (Lesser Antilles)
Brazil
British Honduras
Cayman Islands
Chile
Colombia
Costa Rica
Cuba
Curacao (Lesser Antilles)
Dominica (Windward Islands)
Dominican Republic
Ecuador
Easter Island (Chilean)
Falkland Islands
Galapagos (Ecuador)
Genada (Windward Islands)
Grenadines (Windward Islands)
Guadeloupe (Lesser Antilles)
Guatemala
Guyana (Formerly British Guiana)
Guyane (formerly French Guiana)
Haiti
Hispaniola
Honduras
Jamaica
Malvinas (Falkland Islands)
Martinique (Lesser Antilles)
Mexico
Montserrat (Leeward Islands)
Nevis (Lesser Antilles)
Nicaragua
Panama
Paraguay
Peru
Puerto Rico
St. Croix (Lesser Antilles)
St. Kitts (Lesser Antilles)
Saint Vincent (Windward Islands)
Santa Lucia (Windward Islands)
Salvador, El
Surinam (formerly Dutch Guiana)
Tobago (West Indies)
Trinidad (West Indies)
Uruguay
Venezuela
Virgin Islands (Leeward Islands)